

# Finansinspektionen's Regulatory Code

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## Regulations

### amending Finansinspektionen's regulations (FFFS 2013:9) regarding Swedish UCITS;

**FFFS 2018:13**

Published

2 July 2018

decided on 25 June 2018.

Finansinspektionen prescribes pursuant to section 18, points 3 and 12 of the Swedish UCITS Ordinance (2013:588) relating to Finansinspektionen's regulations (FFFS 2013:9) regarding Swedish UCITS

*in part* that the heading for Chapter 22 shall be "Application of other regulations on certain operations",

*in part* that the heading immediately preceding Chapter 22, section 1 shall be "Portfolio management regarding financial instruments", and

*in part* that two new sections, Chapter 22, sections 2 and 3, shall be inserted, and new headings immediately preceding Chapter 22, sections 2 and 3 shall have the following wording.

## Chapter 22

### Receipt of funds with a reporting obligation

**Section 2** A Swedish management company that as part of its operations receives funds with a reporting obligation in accordance with Chapter 1, section 4 of the Swedish UCITS Act (2004:46) shall in this part apply Chapter 6, sections 2–5, 10–13 and 21–23 of Finansinspektionen's regulations (FFFS 2017:2) regarding investment services and activities.

### Advice regarding units in funds in fund operations

**Section 3** A Swedish management company that as part of its operations gives advice to customers regarding fund units in cases other than that set out in Chapter 7, section 1, first paragraph, point 3 of the Swedish UCITS Act (2004:46), when providing such services, shall fulfil the requirements set out in Articles 27, 33, 37, 52, 54 and 55 of the delegated regulation for MiFID II.

The Swedish management company, when providing such services in accordance with the first paragraph, shall also apply Chapter 4 and Chapter 7, sections 1–5 and 8–19 of Finansinspektionen's regulations (FFFS 2017:2) regarding investment services and activities.

These regulations shall enter into force on 1 August 2018.

ERIK THEDÉEN

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