

Finansinspektionen's Regulatory Code

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FFFS 2011:44

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Regulations

amending Finansinspektionen's regulations and general guidelines (FFFS 2005:11) regarding insurance mediation;

decided on 28 June 2011.

Finansinspektionen prescribes pursuant to Chapter 7, section 1, points 3 and 4 of the Insurance Mediation Ordinance (2005:411) with regard to Finansinspektionen's regulations and general guidelines (FFFS 2005:11) regarding insurance mediation that Chapter 2, section 9 and Chapter 3, section 4 shall have the following wording.

Chapter 2

Section 9 Those mediating fund units or providing investment advice on fund units shall possess knowledge of

1. Chapter 8, sections 1, 12, 15–19 and 22–27 of the Securities Market Act,
2. Chapters 2, 7 and 12, Chapter 13, sections 1–5, Chapter 14 and Chapter 21 of Finansinspektionen's regulations regarding investment services and activities, where applicable,
3. Chapters 1–6, 8 and 9 of the Investment Funds Act (2004:46), where applicable, and
4. Chapter 18 of Finansinspektionen's regulations (FFFS 2008:11) regarding investment funds and Commission Regulation (EU) No 583/2010 of 1 July 2010 implementing Directive 2009/65/EC of the European Parliament and of the Council as regards key investor information and conditions to be met when providing key investor information or the prospectus in a durable medium other than paper or by means of a website, where applicable.

Chapter 3

Section 4 The management of a legal person mediating fund units shall include a person who is familiar with the contents of

1. Chapter 8, sections 1, 9–12 and 14–27 of the Securities Market Act,
2. Chapters 2, 6–9, 11 and 12, Chapter 13, sections 1–5, Chapter 14 and Chapter 21 of Finansinspektionen's regulations regarding investment services and activities, where applicable, and
3. Chapter 15, sections 1 and 7–11 and Chapter 19 of Finansinspektionen's regulations regarding investment services and activities,

4. Chapters 1–6, 8 and 9 of the Investment Funds Act, where applicable, and
5. Chapter 18 of Finansinspektionen's regulations regarding investment funds and Commission Regulation (EU) No. 583/2010, where applicable.

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1. These regulations shall enter into force on 1 August 2011.
 2. Until 1 July 2012, those mediating fund units or providing investment advice on fund units shall also possess knowledge, where applicable, of Chapter 17 of Finansinspektionen's regulations regarding investment funds in its wording prior to the amendments which enter into force on 1 August 2011.
 3. Until 1 July 2012, the management of a legal person mediating fund units shall include a person who is familiar with the contents, where applicable, of Chapter 17 of Finansinspektionen's regulations regarding investment funds in its wording prior to the amendments which enter into force on 1 August 2011.

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