

# Finansinspektionen's Regulatory Code

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## Finansinspektionen's regulations regarding reporting of data on own funds requirements for certain securities companies;

**FFFS 2018:9**

Published  
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decided on 19 June 2018.

Finansinspektionen prescribes the following pursuant to Chapter 6, section 1, points 56 and 58 of the Securities Market Ordinance (2007:572).

### Scope

**Section 1** These regulations apply to securities companies as referred to in Article 4(1)(2)(c) of Regulation (EU) No 575/2013 of the European Parliament and of the Council of 26 June 2013 on prudential requirements for credit institutions and investment firms and amending Regulation (EU) No 648/2012.

### Contents of the regulations

**Section 2** The regulations contain provisions regarding which data on own fund requirements securities companies as referred to in section 1 shall report to Finansinspektionen.

### Reporting information to Finansinspektionen

**Section 3** A securities company, on the balance sheet dates of 31 March, 30 June, 30 September and 31 December, shall submit data on the company's

1. own funds, and
2. memorandum items.

If the securities company shall apply Articles 95(2) and 97(1) of Regulation (EU) No 575/2013 of the European Parliament and of the Council of 26 June 2013 on prudential requirements for credit institutions and investment firms and amending Regulation (EU) No 648/2012, the company shall also submit data on its

1. own funds requirement (risk-weighted exposure amount), and
2. capital ratios and capital levels.

**Section 4** The data in section 3 shall be submitted via Finansinspektionen's online portal for periodic reporting in accordance with the instructions available on the authority's website.

**Section 5** Finansinspektionen shall have received the data no later than 12 May, 11 August, 11 November and 11 February. The data shall refer to the previous

quarter. If the balance sheet date coincides with the date of the annual accounts, Finansinspektionen shall have received the data no later than the twentieth calendar day of the second month following the balance sheet date.

**Section 6** If the securities company makes changes that affect the data that is reported in accordance with section 3, the company shall immediately submit correct data to Finansinspektionen.

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These regulations shall enter into force on 3 July 2018.

ERIK THEDÉEN

Veronica Fröderberg