

Finansinspektionen's Regulatory Code

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Regulations

amending Finansinspektionen's regulations (FFFS 2007:17) governing operations on trading venues;

FFFS 2022:2

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decided 22 February 2022.

Finansinspektionen prescribes pursuant to Chapter 6, section 1 of the Securities Market Ordinance (2007:572) that Chapter 1, section 1 and Chapter 2, sections 1 and 9 of Finansinspektionen's regulations (FFFS 2007:17) shall have the following wording.

Chapter 1

Section 1 These regulations apply to

- exchanges,
- clearing organisations,
- securities institutions,
- companies whose transferable securities are admitted to trading on a regulated market or trading facility and to issuers of such transferable securities, and
- parties preparing prospectuses or other documents in accordance with Regulation (EU) 2017/1129 of the European Parliament and of the Council of 14 June 2017 on the prospectus to be published when securities are offered to the public or admitted to trading on a regulated market, and repealing Directive 2003/71/EC.

Chapter 2

Section 1¹ This chapter contains provisions governing the information a stock exchange, a clearing organisation and their owners shall submit to Finansinspektionen in conjunction with an ownership or a management assessment pursuant to the Securities Market Act (2007:528).

Section 9² A stock exchange and a clearing organisation shall inform Finansinspektionen when new individuals are appointed to the following positions at the undertaking:

- chairman of the board,
- board members,
- alternate board members, and
- managing director or deputy managing director, i.e. a person serving in the managing director's stead.

¹ The change entails that the second paragraph has been removed.

² The change entails in part that the fourth paragraph has been removed.

Stock exchanges and clearing organisations shall also notify Finansinspektionen when the number of board members is decreased.

When a new chair of the board, board member, alternate board member, managing director or deputy managing director is appointed at a stock exchange or a clearing organisation, the undertaking shall append the information set forth in Appendix 2.

These regulations shall enter into force on 08 March 2022.

ERIK THEDÉEN

Peter Albrecht