

## SCHEDULE 2

### FINANCIAL SERVICES

#### PART 2

Table referred to in Part 1 of this Schedule and in paragraph 7 of Schedule 3

<i>Column 1</i>	<i>Column 2</i>
<i>(Status)</i>	<i>(Questioner)</i>
1. A person with Part IV permission.	The Financial Services Authority.
2.—(1) An approved person within the meaning of Part V of the 2000 Act (performance of regulated activities).	The Financial Services Authority or the authorised person within the meaning of section 31(2) of the 2000 Act or the applicant for Part IV permission who made the application for the Authority's approval under section 59 of the 2000 Act in relation to the person mentioned in sub-paragraph (1) of the first column.
(2) An associate of the person (whether or not an individual) mentioned in sub-paragraph (1).	
3.—(1) The manager or trustee of an authorised unit trust scheme, within the meaning of section 237 of the 2000 Act.	The Financial Services Authority or the unit trust scheme mentioned in the first column.
(2) An associate of the person (whether or not an individual) mentioned in sub-paragraph (1).	
4.—(1) A director of an open-ended investment company.	The Financial Services Authority or the open-ended investment company mentioned in the first column.
(2) An associate of the person (whether or not an individual) mentioned in sub-paragraph (1).	
5. An associate of the operator or trustee of a relevant collective investment scheme.	The Financial Services Authority or the collective investment scheme mentioned in the first column.
6. An associate of a UK recognised investment exchange or UK recognised clearing house.	The Financial Services Authority or the investment exchange or clearing house mentioned in the first column.
7. A controller of a person with Part IV permission.	The Financial Services Authority or the person with Part IV permission mentioned in the first column.
8.—(1) A person who carries on a regulated activity within the meaning of section 22 of the 2000 Act but to whom the general prohibition does not apply by virtue of section 327 (exemption from the general prohibition for members of a designated professional body) of the 2000 Act.	(1) The Financial Services Authority.

<i>Column 1</i>	<i>Column 2</i>
<i>(Status)</i>	<i>(Questioner)</i>
(2) An associate of the person (whether or not an individual) mentioned in sub-paragraph (1).	(2) In the case of a person mentioned in sub-paragraph (2) of the first column, the person mentioned in sub-paragraph (1) of that column.
9. A key worker of the Financial Services Authority.	The Financial Services Authority.
10. An ombudsman (within the meaning of Schedule 17 to the 2000 Act) of the Financial Ombudsman Service.	The scheme operator (within the meaning of section 225 of the 2000 Act) of the Financial Ombudsman Service.
11. An associate of the issuer of securities which have been admitted to the official list maintained by the competent authority for listing under section 74(1) of the 2000 Act.	The competent authority for listing.
12. A sponsor within the meaning of section 88(2) of the 2000 Act.	The competent authority for listing.
13. A key worker of the competent authority for listing.	The competent authority for listing.
14. An associate of a person who has Part IV permission and who is admitted to Lloyd's as an underwriting agent (within the meaning of section 2 of Lloyd's Act 1982).	(1) The Council of Lloyd's. (2) The person with Part IV permission specified in the first column (or a person applying for such permission).
15. An associate of the Council of Lloyd's.	The Council of Lloyd's.
16.—(1) Any member of a UK recognised investment exchange or UK recognised clearing house.	(1) The UK recognised investment exchange or UK recognised clearing house specified in the first column.
(2) Any associate of the person (whether or not an individual) mentioned in sub-paragraph (1).	(2) In the case of a person mentioned in sub-paragraph (2) of the first column, the person mentioned in sub-paragraph (1) of that column.
17. A director or manager responsible for the management of the electronic money or payment services business of an electronic money institution.	The Financial Services Authority.
18. A controller of an electronic money institution.	The Financial Services Authority.
19. A director or a person responsible for the management of an authorised payment institution or a small payment institution.	The Financial Services Authority.
20. A person responsible for the management of payment services provided, or to be provided,	The Financial Services Authority.

(1) Section 74 was amended by the [Financial Services and Markets Act 2000 \(Market Abuse\) Regulations 2005 \(S.I. 2005/381\)](#), Schedule 1, paragraph 3; and by the [Prospectus Regulations 2005 \(S.I. 2005/1433\)](#), Schedule 1, paragraph 2.

<i>Column 1</i>	<i>Column 2</i>
<i>(Status)</i>	<i>(Questioner)</i>
by an authorised payment institution or a small payment institution.	
<b>21.</b> A controller of an authorised payment institution or a small payment institution.	The Financial Services Authority.