Financial Services and Markets Act 2000

CHAPTER 8

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Changes to legislation: There are outstanding changes not yet made by the legislation.gov.uk editorial team to Financial Services and Markets Act 2000. Any changes that have already been made by the team appear in the content and are referenced with annotations. (See end of Document for details) View outstanding changes

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Services for which fees may not be charged
24 The power conferred by paragraph 23 may not be used...

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25 (1) None of the following is to be liable in...

Accredited financial investigators
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20 (1) In relation to each report made under paragraph 19,...

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22 (1) The Treasury may— (a) require the PRA to comply...

23 (1) The PRA must send a copy of its annual...

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26 If the Secretary of State is satisfied that any action...

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28 (1) The PRA must in respect of each of its...

29 (1) The PRA must prepare and operate a scheme (“...

30 (1) The scheme details must be published by the PRA...

**Fees**

31 (1) The PRA may make rules providing for the payment...

**Services for which fees may not be charged**

32 The power conferred by paragraph 31 may not be used...

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33 (1) None of the following is to be liable in...
Accredited financial investigators

34 For the purposes of this Act anything done by an...

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Meaning of “the relevant costs”

11 (1) In this Part of this Schedule “the relevant...

   Funding of the relevant costs by authorised persons, payment service providers or electronic money issuers

12 (1) For the purpose of meeting a proportion of the...

   Funding of the relevant costs by consumer credit licensees etc

13 (1) For the purpose of meeting a proportion of the...

   Funding by grants or loans etc made by Treasury or Secretary of State

14 (1) The Treasury or the Secretary of State may—

Part 3 — REVIEWS

Reviews of economy etc of the consumer financial education body

15 (1) The FCA may appoint an independent person to conduct...

Right to obtain documents and information

16 (1) A person conducting a review under paragraph 15—

SCHEDULE 2 — Regulated Activities

   Part I — REGULATED ACTIVITIES: GENERAL

   General

1 The matters with respect to which provision may be made...

   Dealing in investments

2 (1) Buying, selling, subscribing for or underwriting investments or offering...

   Arranging deals in investments

3 Making, or offering or agreeing to make—

   Deposit taking

4 Accepting deposits.

   Safekeeping and administration of assets

5 (1) Safeguarding and administering assets belonging to another which consist...

   Managing investments

6 Managing, or offering or agreeing to manage, assets belonging to...

   Investment advice

7 Giving or offering or agreeing to give advice to persons...
Establishing collective investment schemes

8 Establishing, operating or winding up a collective investment scheme, including...

Using computer-based systems for giving investment instructions

9 (1) Sending on behalf of another person instructions relating to...

Part 1A — REGULATED ACTIVITIES: RECLAIM FUNDS

9A Activities of reclaim funds

Part II — INVESTMENTS

General

10 The matters with respect to which provision may be made...

Securities

11 (1) Shares or stock in the share capital of a...

Instruments creating or acknowledging indebtedness

12 Any of the following— (a) debentures; (b) debenture stock;

Government and public securities

13 (1) Loan stock, bonds and other instruments—

Instruments giving entitlement to investments

14 (1) Warrants or other instruments entitling the holder to subscribe...

Certificates representing securities

15 Certificates or other instruments which confer contractual or property rights—...

Units in collective investment schemes

16 (1) Shares in or securities of an open-ended investment company....

Options

17 Options to acquire or dispose of property.

Futures

18 Rights under a contract for the sale of a commodity...

Contracts for differences

19 Rights under— (a) a contract for differences; or

Contracts of insurance

20 Rights under a contract of insurance, including rights under contracts...

Participation in Lloyd's syndicates

21 (1) The underwriting capacity of a Lloyd’s syndicate.
Deposits

22 Rights under any contract under which a sum of money...

Loans and other forms of credit

23 (1) Rights under any contract under which one person provides...

Other finance arrangements involving land

23A (1) Rights under any arrangement for the provision of finance...

Contracts for hire of goods

23B (1) Rights under a contract for the bailment or (in...

Rights in investments

24 Any right or interest in anything which is an investment...

PART 2A — REGULATED ACTIVITIES RELATING TO INFORMATION ABOUT
PERSONS’ FINANCIAL STANDING

24A General
24B Providing credit reference services
24C Providing credit information services
24D Giving advice to a person other than a body corporate...

PART 2B — REGULATED ACTIVITIES RELATING TO THE SETTING OF
BENCHMARKS

24E General
24F Providing information
24G Administration
24H Determining or publishing benchmark or publishing connected
information

Part III — SUPPLEMENTAL PROVISIONS

The order-making power

25 (1) An order under section 22(1) or (1A) to (1B)...

Parliamentary control

26 (1) This paragraph applies to any order made under section...

Interpretation

27 (1) In this Schedule— “buying” includes acquiring for valuable
consideration;...

SCHEDULE 3 — EEA Passport Rights

Part I — DEFINED TERMS

The single market directives

1 “The single market directives” means— (a) the capital requirements
directive...
The banking co-ordination directives

2 "The banking consolidation directive" means Directive 2006/48/EC of the...

The Solvency 2 Directive


The reinsurance directive

3A “The reinsurance directive” means Directive 2005/68/EC of...

The investment services directive

4 .......... ....

The insurance distribution directive

4A “The insurance distribution directive” means Directive (EU) 2016/97 of the...

The UCITS directive

4B “The UCITS directive” means the Directive of the...

The markets in financial instruments directive

4C “The markets in financial instruments directive” means Directive 2014/65/EU of...

4D The emission allowance auctioning regulation

The alternative investment fund managers directive

4E “The alternative investment fund managers directive” means Directive 2011/61/EU...

The mortgages directive

4F “The mortgages directive” means Directive 2014/17/EU of the European...

EEA firm

5 “EEA firm” means any of the following if it does...

5A In paragraph 5, “relevant office” means—

EEA authorisation

6 “EEA authorisation” means— (a) in relation to an...

EEA right

7 “EEA right” means the entitlement of a person to establish...

7A In paragraph 7, “relevant office” means—
EEA State

8 “EEA State” has the meaning given by Schedule...

Home state regulator

9 “Home state regulator” means the competent authority (within the meaning...

UK firm

10 “UK firm” means a person whose relevant office is in...
10A In paragraph 10, “relevant office” means—

UK investment firm

10B “UK investment firm” means a UK firm—

Host state regulator

11 “Host state regulator” means the competent authority (within the meaning...

Tied agent

11A “Tied agent” has the meaning given in Article 4.1.29 of...

Management company

11B “Management company” has the meaning given in Article...

UCITS

11C “UCITS” has the meaning given in Article 1.2...

EEAAIFM

11D “EEA AIFM” means an EEA firm falling within...

Part II — EXERCISE OF PASSPORT RIGHTS BY EEA FIRMS

Firms qualifying for authorisation

12 (1) Once an EEA firm which is seeking to establish...

Establishment

13 (1) If the firm falls within paragraph 5(a), (b), (c)...

Services

14 (1) The service conditions are that—(a) the firm has...

Grant of permission

15 (1) On qualifying for authorisation as a result of paragraph...
15ZA Grant of permission: bidding for emission allowances

Power to restrict permission of management companies

15A Application for approval to manage UCITS
15B Representations and references to the Tribunal
15C Information to home state regulator

Effect of carrying on regulated activity when not qualified for authorisation
16 (1) This paragraph applies to an EEA firm which is...

Continuing regulation of EEA firms
17 Regulations may— (za) require the FCA and the PRA to...

Giving up right to authorisation
18 Regulations may provide that in prescribed circumstances an EEA firm...

Part III — EXERCISE OF PASSPORT RIGHTS BY UK FIRMS

Meaning of “the appropriate UK regulator”
18A In this Part of this Schedule “ the appropriate UK...

Establishment
19 (1) Subject to sub-paragraphs (5ZA) , (5ZB) , (5A) and...

Services
20 (1) Subject to sub-paragraphs (4D) to (4I), a UK firm...
20ZA Information for host state regulator

Tied agents
20A (1) If a UK investment firm or UK credit institution...
20B Notice of intention to market a UCITS

Notice of intention to market an AIF
20C (1) A full-scope UK AIFM may not exercise in the...

Offence relating to exercise of passport rights
21 (1) If a UK firm which is not an authorised...

Continuing regulation of UK firms
22 (1) Regulations may make such provision as the Treasury consider...
23 (1) Sub-paragraphs (2) and (2A) apply if a UK firm— ...
24 (1) Sub-paragraph (2) applies if a UK firm—

Arrangements between FCA and PRA
24A (1) The regulators may make arrangements about—

Information to be included in the public record
25 The FCA must include in the record that it maintains...
26 UK management companies: delegation of functions
27 UK management companies: withdrawal of authorisation
28 Management companies: request for information
Full-scope UKAIFMs: notification of breach by host state regulator

29 If a host state regulator informs the FCA in accordance...

SCHEDULE 4 — Treaty Rights

Definitions

1 (1) In this Schedule— . . . . . ....

Firms qualifying for authorisation

2 Once a Treaty firm which is seeking to carry on...

Exercise of Treaty rights

3 (1) The conditions are that— (a) the firm has received...

Notification between UK regulators

3A Regulations may require the PRA and the FCA to notify...

Permission

4 (1) On qualifying for authorisation under this Schedule, a Treaty...

Notice to UK regulator

5 (1) Sub-paragraph (2) applies to a Treaty firm which—

Offences

6 (1) A person who contravenes paragraph 5(2) is guilty of...

SCHEDULE 5 — Persons Concerned in Collective Investment Schemes

Authorisation

1 (1) A person who for the time being is an...

Permission

2 (1) A person authorised as a result of paragraph 1(1)...

SCHEDULE 6 — Threshold Conditions

PART 1 — INTRODUCTION

1A (1) In this Schedule— “assets” includes contingent assets; “consolidated supervision” ...

PART 1B — PART 4A PERMISSION: AUTHORISED PERSONS WHO ARE NOT PRA-AUTHORISED PERSONS

2A Introduction
2B Location of offices
2C Effective supervision
2D Appropriate resources
2E Suitability
2F Business model
2G Interpretation
PART 1C — PART 4A PERMISSION: CONDITIONS FOR WHICH FCA IS RESPONSIBLE IN RELATION TO PRA-AUTHORISED PERSONS

3A Introduction
3B Effective supervision
3C Appropriate non-financial resources
3D Suitability
3E Business model

PART 1D — PART 4A PERMISSION: CONDITIONS FOR WHICH THE PRA IS RESPONSIBLE IN RELATION TO INSURERS ETC.

4A Introduction
4B Legal status
4C Location of offices
4D Business to be conducted in a prudent manner
4E Suitability
4F Effective supervision

PART 1E — PART 4A PERMISSION: CONDITIONS FOR WHICH THE PRA IS RESPONSIBLE IN RELATION TO OTHER PRA-AUTHORISED PERSONS

5A Introduction
5B Legal status
5C Location of offices
5D Business to be conducted in a prudent manner
5E Suitability
5F Effective supervision

PART 1F — AUTHORISATION UNDER SCHEDULE 3

6A (1) In relation to an EEA firm qualifying for authorisation...

PART 1G — AUTHORISATION UNDER SCHEDULE 4

7A (1) In relation to a person who qualifies for authorisation...

Part II — AUTHORISATION

Authorisation under Schedule 3

... Authorisation

Part III — ADDITIONAL CONDITIONS

8 (1) If this paragraph applies to the person concerned, he...

9 The Treasury may by order— (a) vary or remove any...

SCHEDULE 7 —
The Authority as Competent Authority for Part VI

General

1 . . . . . . . . .

The Authority’s general functions

2 . . . . . . . . .

Duty to consult

3 . . . . . . . . .
Rules

Statements of policy

Penalties

Fees

Exemption from liability in damages

SCHEDULE 8 —
Transfer of functions under Part VI

The power to transfer

Supplemental

SCHEDULE 9 —

General application of Part VI

1 The provisions of Part VI apply in relation to a...

References to listing particulars

2 (1) Any reference to listing particulars is to be read...

General duty of disclosure

3 (1) In section 80(1), for “section 79” substitute “ section...

Supplementary prospectuses

4 In section 81(1), for “section 79 and before the commencement...

Exemption from liability for compensation

5 (1) In paragraphs 1(3) and 2(3) of Schedule 10, for...

Advertisements

6 In section 98(1), for “If listing particulars are, or are...
Fees

7 Listing rules made under section 99 may require the payment...

SCHEDULE 10 — Compensation: Exemptions

Statements believed to be true

1 (1) In this paragraph “statement” means— (a) any untrue or...

Statements by experts

2 (1) In this paragraph “statement” means a statement included in...

Corrections of statements

3 (1) In this paragraph “statement” has the same meaning as...

Corrections of statements by experts

4 (1) In this paragraph “statement” has the same meaning as...

Official statements

5 A person does not incur any liability under section 90(1)...

False or misleading information known about

6 A person does not incur any liability under section 90(1)...

Belief that supplementary listing particulars not called for

7 A person does not incur any liability under section 90(4)...

Meaning of “expert”

8 “Expert” includes any engineer, valuer, accountant or other person whose...

SCHEDULE 10A — LIABILITY OF ISSUERS IN CONNECTION WITH PUBLISHED INFORMATION

PART 1 — SCOPE OF THIS SCHEDULE

1 Securities to which this Schedule applies

2 Published information to which this Schedule applies

PART 2 — LIABILITY IN CONNECTION WITH PUBLISHED INFORMATION

3 Liability of issuer for misleading statement or dishonest omission

4 An issuer of securities to which this Schedule applies is...

5 Liability of issuer for dishonest delay in publishing information

6 Meaning of dishonesty

7 Exclusion of certain other liabilities

PART 3 — SUPPLEMENTARY PROVISIONS

8 Interpretation

SCHEDULE 11 —
The general rule

1 (1) A person offers securities to the public in the...

Exempt offers

2 (1) For the purposes of this Schedule, an offer of...

Offers for business purposes

3 The securities are offered to persons— (a) whose ordinary activities...

Offers to limited numbers

4 (1) The securities are offered to no more than fifty...

Clubs and associations

5 The securities are offered to the members of a club...

Restricted circles

6 (1) The securities are offered to a restricted circle of...

Underwriting agreements

7 The securities are offered in connection with a genuine invitation...

Offers to public authorities

8 (1) The securities are offered to a public authority.

Maximum consideration

9 (1) The total consideration payable for the securities cannot exceed...

Minimum consideration

10 (1) The minimum consideration which may be paid by any...

Securities denominated in euros

11 (1) The securities are denominated in amounts of at least...

Takeovers

12 (1) The securities are offered in connection with a takeover...

Mergers

13 The securities are offered in connection with a merger (within...

Free shares

14 (1) The securities are shares and are offered free of...

Exchange of shares

15 The securities— (a) are shares, or investments of a specified...
Qualifying persons

16  (1) The securities are issued by a body corporate and...

Convertible securities

17  (1) The securities result from the conversion of convertible securities...

Charities

18  The securities are issued by— (a) a charity within the...

Building societies etc.

19  The securities offered are shares which are issued by, or...

Euro-securities

20  (1) The securities offered are Euro-securities and no advertisement relating...

Same class securities

21  The securities are of the same class, and were issued...

Short date securities

22  The securities are investments of a specified kind with a...

Government and public securities

23  (1) The securities are investments of a specified kind creating...

Non-transferable securities

24  The securities are not transferable.
24A Units in a collective investment scheme

General definitions

25  For the purposes of this Schedule— “shares” has such meaning...

SCHEDULE 11A — TRANSFERABLE SECURITIES

PART 1

1  Units (within the meaning in section 237(2)) in an open-ended...
2  Non-equity transferable securities issued by (a) the government of an...
3  Shares in the share capital of the central bank of...
4  Transferable securities unconditionally and irrevocably guaranteed by the government, or...
5  (1) Non-equity transferable securities, issued in a continuous or repeated...
6  Non-fungible shares of capital— (a) the main purpose of which...

PART 2

7  (1) Transferable securities issued by a body specified in sub-paragraph...
8  (1) Non-equity transferable securities, issued in a continuous or repeated...
9  (1) Transferable securities included in an offer where the total...
SCHEDULE 11B — CONNECTED PERSONS

PART 1 — MEANING OF “CONNECTED PERSON”

1 Introduction
2 Meaning of “connected person”
3 Family members
4 Associated bodies corporate
5 Control of a body corporate
6 Supplementary provisions

PART 2 — CONNECTED PERSONS: REFERENCES TO AN INTEREST IN SHARES OR DEBENTURES

7 Introduction
8 General provisions
9 Rights to acquire shares
10 Right to exercise or control exercise of rights
11 Bodies corporate
12 Trusts

SCHEDULE 12 — Transfer schemes: certificates

Part I — INSURANCE BUSINESS TRANSFER SCHEMES

1 (1) For the purposes of section 111(2) the appropriate certificates,...

Certificates as to margin of solvency

2 (1) A certificate under this paragraph is to be given—...

Certificates as to consultation

3 A certificate under this paragraph is one given by the...

Certificates as to consent

3A A certificate under this paragraph is one given by the...

Certificates as to long-term business

4 A certificate under this paragraph is one given by the...

Certificates as to general business

5 A certificate under this paragraph is one given by the...

Certificates as to legality and as to consent

5A (1) The certificates under this paragraph are to be given—...

Interpretation of Part I

6 (1) “State of the commitment”, in relation to a commitment...

Part II — BANKING BUSINESS TRANSFER SCHEMES

7 (1) For the purposes of section 111(2) the appropriate certificates,...

Certificates as to financial resources

8 (1) A certificate under this paragraph is one given by...
Certificates as to consent of home state regulator

9 A certificate under this paragraph is one given by the...
   Part 2A — RECLAIM FUND BUSINESS TRANSFER SCHEMES
9A Certificate as to financial resources
   PART 2B — RING-FENCING TRANSFER SCHEMES
9B Appropriate certificates
9C Certificate as to financial resources
9D Certificate as to consent of home state regulator
   Part III — INSURANCE BUSINESS TRANSFERS EFFECTED OUTSIDE THE
   UNITED KINGDOM

10 (1) This paragraph applies to a proposal to execute under...

SCHEDULE 13 —
   Part I — GENERAL

Interpretation

1 In this Schedule—“panel of chairmen” means the panel established...
   Part II — THE TRIBUNAL

President

2 (1) The Lord Chancellor must appoint one of the members...

Panels

3 (1) The Lord Chancellor must appoint a panel of persons...

Terms of office etc

4 (1) Subject to the provisions of this Schedule, each member...

Remuneration and expenses

5 The Lord Chancellor may pay to any person, in respect...

Staff

6 (1) The Lord Chancellor may appoint such staff for the...
   Part III — CONSTITUTION OF TRIBUNAL
7 (1) On a reference to the Tribunal, the persons to...
   Part IV — TRIBUNAL PROCEDURE
8 For the purpose of dealing with references, or any matter...
9 Rules made by the Lord Chancellor under section 132 may,...

Practice directions

10 The President of the Tribunal may give directions as to...

Evidence

11 (1) The Tribunal may by summons require any person to...

Decisions of Tribunal

12 (1) A decision of the Tribunal may be taken by...
Costs

13 (1) If the Tribunal considers that a party to any...

SCHEDULE 14 — Role of the Competition Commission

Provision of information by Treasury

1 Role of the Competition Commission

Consideration of matters arising on a report

2 Role of the Competition Commission
   Investigations under section 162: application of Enterprise Act 2002
2A Role of the Competition Commission
   Section 162: modification of Schedule 7 to the Competition Act...
2B Role of the Competition Commission
   Reports under section 162: further provision
2C Role of the Competition Commission

Applied provisions

3 Role of the Competition Commission

Publication of reports

4 Role of the Competition Commission

SCHEDULE 15 — Information and Investigations: Connected Persons

Part I — RULES FOR SPECIFIC BODIES

Corporate bodies

1 If the authorised person (“BC”) is a body corporate, a...

Partnerships

2 If the authorised person (“PP”) is a partnership, a person...

Unincorporated associations

3 If the authorised person (“UA”) is an unincorporated association of...

Friendly societies

4 (1) If the authorised person (“FS”) is a friendly society,...

Building societies

5 (1) If the authorised person (“BS”) is a building society,...

Individuals

6 If the authorised person (“IP”) is an individual, a person...

Application to sections 171 and 172

7 For the purposes of sections 171 and 172, if the...

Part II — ADDITIONAL RULES
8 A person who is, or at the relevant time was,...

SCHEDULE 16 — Prohibitions and Restrictions imposed by OFFICE OF FAIR TRADING

Preliminary
1 In this Schedule—“appeal period” has the same meaning as...

Notice of prohibition or restriction
2 (1) This paragraph applies if the OFT proposes, in relation...

Application to revoke prohibition or restriction
3 (1) This paragraph applies if the OFT proposes to refuse...

Representations to Office of Fair Trading OFT
4 (1) If this paragraph applies to an invitation to submit...

Appeals
5 Section 41 of the Consumer Credit Act 1974 (appeals to...

SCHEDULE 17 — The Ombudsman Scheme
Part I — GENERAL

Interpretation
1 In this Schedule—“ADR Directive” means Directive 2013/11/ EU...

Part II — THE SCHEME OPERATOR

Duty of FCA
2 (1) The FCA must take such steps as are necessary...

Constitution
3 (1) The constitution of the scheme operator must provide for...

Relationship with FCA
3A (1) The scheme operator and the FCA must each take...

The panel of ombudsmen
4 (1) The scheme operator must appoint and maintain a panel...

The Chief Ombudsman
5 (1) The scheme operator must appoint one member of the...

Status
6 (1) The scheme operator is not to be regarded as...
Annual reports
7 (1) At least once a year— (a) the scheme operator...

Audit of accounts
7A (1) The scheme operator must send a copy of its...

Information, advice and guidance
8 The scheme operator may publish such information, guidance or advice...

Budget
9 (1) The scheme operator must, before the start of each...

Annual plan
9A (1) The scheme operator must in respect of each of...

Exemption from liability in damages
10 (1) No person is to be liable in damages for...

Privilege
11 For the purposes of the law relating to defamation, proceedings...

Part III — THE COMPULSORY JURISDICTION

Introduction
12 This Part of this Schedule applies only in relation to...

FCA's rules
13 (1) The FCA must make rules providing that a complaint...

The scheme operator's rules
14 (1) The scheme operator must make rules, to be known...

Fees
15 (1) Scheme rules may require a respondent to pay to...

Enforcement of money awards
16 A money award, including interest, which has been registered in...

Part 3A — THE CONSUMER CREDIT JURISDICTION

Introduction
16A This Part of this Schedule applies only in relation to...

Procedure for complaints etc.
16B (1) Consumer credit rules— (a) must provide that a complaint...
Fees

16C (1) Consumer credit rules may require a respondent to pay...

Enforcement of money awards

16D A money award, including interest, which has been registered in...

Procedure for consumer credit rules

16E (1) If the scheme operator makes any consumer credit rules,...

Verification of consumer credit rules

16F (1) The production of a printed copy of consumer credit...

Consultation

16G (1) If the scheme operator proposes to make consumer credit...

Part IV — THE VOLUNTARY JURISDICTION

Introduction

17 This Part of this Schedule applies only in relation to...

Terms of reference to the scheme

18 (1) Complaints are to be dealt with and determined under...

Delegation by and to other schemes

19 (1) The scheme operator may make arrangements with a relevant...

Voluntary jurisdiction rules: procedure

20 (1) If the scheme operator makes voluntary jurisdiction rules, it...

Verification of the rules

21 (1) The production of a printed copy of voluntary jurisdiction...

Consultation

22 (1) If the scheme operator proposes to make voluntary jurisdiction...

SCHEDULE 17A — Further provision in relation to exercise of Part 18 functions by Bank of England

Part 1 — CO-OPERATION BETWEEN APPROPRIATE REGULATORS

Memorandum of understanding between appropriate regulators and PRA

1 (1) The appropriate regulators must prepare and maintain a memorandum...

2 (1) The FCA and the PRA must prepare and maintain...

3 The parties to a memorandum under paragraph 1 or 2...

4 The parties to a memorandum under paragraph 1 or 2...

5 The Treasury must lay before Parliament a copy of any...

6 The parties to a memorandum under paragraph 1 or 2...
Notification by FCA of action in relation to recognised clearing houses

7 The FCA must notify the Bank of England of any...
8 The FCA must notify the Bank of England of any...

Part 2 — APPLICATION OF PROVISIONS OF THIS ACT IN RELATION TO BANK OF ENGLAND

Introduction

9 (1) The provisions of this Act mentioned in this Part...

Rules

10 (1) The following provisions of Part 9A of this Act...

Information gathering and investigations

11 (1) The powers conferred by section 165(1) and (3) (power...
12 The power conferred by section 166 (reports by skilled person)...
13 (1) The powers conferred by section 167 (appointment of persons...  
14 (1) The power conferred by section 168(5) (appointment of persons... 
15 An overseas regulator may, in accordance with section 169, request...
16 The power to give information under section 176(1) (entry of... 

Powers in relation to parent undertakings

17 (1) The following provisions of Part 12A of this Act...

Auditors

18 (1) Section 342 (information given by auditor to a regulator)...  
19 (1) Section 343 (information given by auditor: person with close... 
20 Section 344 (duty of auditor resigning to give notice) applies...
21 Sections 345A to 345E apply to auditors to whom section...

Public record and disclosure of information

22 Section 347 (record of authorised persons, recognised investment exchanges, etc)... 
23 (1) Sections 348 to 350 and 353 (disclosure of information)... 

Insolvency

24 (1) The following provisions of Part 24 of this Act...
25 (1) In the case of any regulated activity which is...

Injunctions and restitution

26 (1) The power to make an application under section 380(1)...
27 (1) The power to make an application under section 382(1)...
28 (1) The power conferred by section 384(5) (power of FCA...

Notices

29 The provisions of Part 26 of this Act (notices) apply...
Offences

30  Section 398 (misleading the FCA: residual cases) applies to information...
31  (1) Section 401 (proceedings for an offence) applies to the...

Records

32  Paragraph 17 of Schedule 1ZB (records) applies in relation to...

Annual report

33  Paragraph 19 of Schedule 1ZB (annual report by PRA) applies...

Notice to Bank of England of preliminary steps

34  (1) An application for an administration order in respect of...

Power to give directions to insolvency practitioner

35  (1) This paragraph applies where a person has been appointed...
36  (1) The Bank of England may, in connection with the...
37  Any fee which is owed to the Bank under paragraph...

SCHEDULE 18 — Mutuels
Part I — FRIENDLY SOCIETIES

The Friendly Societies Act 1974 (c.46)

1  Omit sections 4 (provision for separate registration areas) and 10...
2  In section 7 (societies which may be registered), in subsection...
3  In section 11 (additional registration requirements for societies with branches),...
4  In section 99(4) (punishment of fraud etc and recovery of...

The Friendly Societies Act 1992 (c.40)

5  Omit sections 31 to 36A (authorisation of friendly societies business)....
6  In section 37 (restrictions on combinations of business), omit subsections...
7  Omit sections 38 to 43 (restrictions on business of certain...
8  Omit sections 44 to 50 (regulation of friendly societies business)....
Part II — FRIENDLY SOCIETIES: SUBSIDIARIES AND CONTROLLED BODIES

Interpretation

9  In this Part of this Schedule— “the 1992 Act” means...

Qualifying bodies

10  (1) Subsections (2) to (5) of section 13 (incorporated friendly...

Bodies controlled by societies

11  In section 13(9) (defined terms), after paragraph (a) insert—
Joint control by societies

12 In section 13(9), after paragraph (c) insert—

Acquisition of joint control

13 In section 13(9), in the words following paragraph (d), after...

Amendment of Schedule 8 to the 1992 Act

14 (1) Schedule 8 to the 1992 Act (provisions supplementing section...

Consequential amendments

15 (1) Section 52 of the 1992 Act is amended as...

References in other enactments

16 References in any provision of, or made under, any enactment...

Part III — BUILDING SOCIETIES

The Building Societies Act 1986 (c.53)

17 Omit section 9 (initial authorisation to raise funds and borrow...
18 Omit Schedule 3 (supplementary provisions about authorisation).

Part IV — INDUSTRIAL AND PROVIDENT SOCIETIES

The Industrial and Provident Societies Act 1965 (c.12)

19 Omit section 8 (provision for separate registration areas for Scotland...
20 Omit section 70 (scale of fees to be paid in...

Part V — CREDIT UNIONS

The Credit Unions Act 1979 (c.34)

21 In section 6 (minimum and maximum number of members), omit...
22 In section 11 (loans), omit subsections (2) and (6).
23 Omit sections 11B (loans approved by credit unions), 11C (grant...
24 In section 12, omit subsections (4) and (5).
25 In section 14, omit subsections (2), (3), (5) and (6)....
26 In section 28 (offences), omit subsection (2).

SCHEDULE 19 —

Part I — PERSONS AND FUNCTIONS FOR THE PURPOSES OF SECTION 351

1 The Table set out after this paragraph has effect for...

Part II — THE ENACTMENTS

1 The Fair Trading Act 1973
2 The Consumer Credit Act 1974
3 The Estate Agents Act 1979
4 The Competition Act 1980
5 The Telecommunications Act 1984
6 The Airports Act 1986
7 The Gas Act 1986
8 The Control of Misleading Advertisements Regulations 1988
9 The Electricity Act 1989
10 The Broadcasting Act 1990
SCHEDULE 20 — Minor and Consequential Amendments

**The House of Commons Disqualification Act 1975 (c. 24)**

1 In Part III of Schedule 1 to the House of...

**The Northern Ireland Assembly Disqualification Act 1975 (c. 25)**

2 In Part III of Schedule 1 to the Northern Ireland...

**The Civil Jurisdiction and Judgments Act 1982 (c. 27)**

3 In paragraph 10 of Schedule 5 to the Civil Jurisdiction...

**The Income and Corporation Taxes Act 1988 (c. 1)**

4 (1) The Income and Corporation Taxes Act 1988 is amended...

**The Finance Act 1991 (c. 31)**

5 (1) The Finance Act 1991 is amended as follows.

**The Tribunals and Inquiries Act 1992 (c. 53)**

6 Minor and Consequential Amendments

**The Judicial Pensions and Retirement Act 1993 (c. 8)**

7 (1) The Judicial Pensions and Retirement Act 1993 is amended...

SCHEDULE 21 — Transitional Provisions and Savings

**Self-regulating organisations**

1 (1) No new application under section 9 of the 1986...

**Self-regulating organisations for friendly societies**

2 (1) No new application under paragraph 2 of Schedule 11...

SCHEDULE 22 — Repeals
Changes to legislation:
There are outstanding changes not yet made by the legislation.gov.uk editorial team to Financial Services and Markets Act 2000. Any changes that have already been made by the team appear in the content and are referenced with annotations.
View outstanding changes

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– s. 1L(2)(3) excluded by S.I. 2019/1361 reg. 24 (This S.I. is amended by S.I. 2019/1390, reg. 6)
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– s. 21 amendment to earlier affecting provision S.I. 2018/1149, reg. 58 by S.I. 2019/1010 reg. 4
– s. 21 modified by S.I. 2019/1361 reg. 18 (This S.I. is amended by S.I. 2019/1390, reg. 6)
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– s. 22(1A)(a) word inserted by S.I. 2018/135 reg. 39(a)
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– s. 39A(1)(a) words substituted by S.I. 2019/632 reg. 13(2)
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– s. 45(1) amendment to earlier affecting provision SI 2011/2832 art. 5(4) by S.I. 2013/472 Sch. 2 para. 220(a)(iv)
– s. 49(2A) inserted by S.I. 2003/1476 art. 20(3) (This amendment not applied to legislation.gov.uk. This amending provision is revoked (15.7.2004) by S.I. 2004/1610, art. 2.)
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| s. 55Z1-55Z2A omitted by S.I. 2019/632 reg. 23 |
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| s. 63E(7) omitted by S.I. 2019/632 reg. 26 |
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| s. 71I(2)(b) words substituted by S.I. 2019/632 reg. 30(2) |
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| s. 71I(3) words substituted by S.I. 2019/632 reg. 30(3)(b) |
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s. 84(6) words substituted by S.I. 2019/707 reg. 6(5)(a) (This amendment not applied to legislation.gov.uk. Reg. 6 omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 12)

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s. 85(7) word substituted by S.I. 2019/707 reg. 7

s. 86(1)(b) words substituted by S.I. 2019/707 reg. 8(2)(a) (This amendment not applied to legislation.gov.uk. Reg. 8(2)(a) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(a))

s. 86(1)(c) words substituted by S.I. 2019/707 reg. 8(2)(b)

s. 86(1)(f) and word omitted by S.I. 2019/1043 reg. 7(3)(b)

s. 86(1A) omitted by S.I. 2019/1043 reg. 7(4)

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s. 86(1B) omitted by S.I. 2019/1043 reg. 7(4)

s. 86(1B)(a) words omitted by S.I. 2019/707 reg. 8(4)(a) (This amendment not applied to legislation.gov.uk. Reg. 8(3)(4) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(b))

s. 86(1B)(b) words substituted by S.I. 2019/707 reg. 8(4)(b) (This amendment not applied to legislation.gov.uk. Reg. 8(3)(4) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(b))

s. 86(2) words substituted by S.I. 2019/707 reg. 8(5)

s. 86(2)(a) words omitted by S.I. 2019/1234 reg. 5

s. 86(2)(a) words substituted by S.I. 2019/1043 reg. 7(5)

s. 86(3) words substituted by S.I. 2019/1043 reg. 7(6)

s. 86(7)-(10) omitted by S.I. 2019/1043 reg. 7(7)

s. 86(7)(a) words substituted by S.I. 2019/707 reg. 8(6)(a)(i) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))

s. 86(7)(a) words substituted by S.I. 2019/707 reg. 8(6)(a)(ii) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))

s. 86(7)(b) words substituted by S.I. 2019/707 reg. 8(6)(b)(i) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))

s. 86(7)(b) words substituted by S.I. 2019/707 reg. 8(6)(b)(ii) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))

s. 86(7)(c) substituted by S.I. 2019/707 reg. 8(6)(c) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))

s. 86(7)(d)(ii) words substituted by S.I. 2019/707 reg. 8(6)(d) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))

s. 86(8) word inserted by S.I. 2019/707 reg. 8(7) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))
s. 86(9) word inserted by S.I. 2019/707 reg. 8(8)(a) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))
- s. 86(9)(b) words substituted by S.I. 2019/707 reg. 8(8)(b) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))
- s. 86(10) omitted by S.I. 2019/707 reg. 8(10) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))
- s. 87(1) omitted by S.I. 2019/1043 reg. 8(2)
- s. 87(2) omitted by S.I. 2019/1043 reg. 8(2)
- s. 87(3) words substituted by S.I. 2019/1043 reg. 8(3)
- s. 87(4) omitted by S.I. 2019/1043 reg. 8(4)
- s. 87(4) words omitted by S.I. 2019/707 reg. 9 (This amendment not applied to legislation.gov.uk. Reg. 9 omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 14)
- s. 87A(1)(a) omitted by S.I. 2019/707 reg. 10(2)(a)
- s. 87A(1)(b) words substituted by S.I. 2019/1043 reg. 9(2)
- s. 87A(1)(c) words substituted by S.I. 2019/1043 reg. 9(3)
- s. 87A(1)(c) words substituted by S.I. 2019/707 reg. 10(2)(b) (This amendment not applied to legislation.gov.uk. Reg. 10(2)(b) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 15(a))
- s. 87A(2) substituted by S.I. 2019/1043 reg. 9(4)
- s. 87A(2A) word omitted by S.I. 2019/707 reg. 10(3)
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- s. 87A(8) words omitted by S.I. 2019/1043 reg. 9(6)
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- s. 87B(3) words substituted by S.I. 2019/1043 reg. 10(3)
- s. 87B(5) omitted by S.I. 2019/1043 reg. 9(5)
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- s. 87C(5) omitted by S.I. 2019/1043 reg. 11(2)
- s. 87C(9) words omitted by S.I. 2019/1043 reg. 11(3)(a)
- s. 87C(9) words substituted by S.I. 2019/1043 reg. 11(3)(b)
- s. 87C(10) omitted by S.I. 2019/1043 reg. 11(4)
- s. 87C(11) omitted by S.I. 2019/1043 reg. 11(4)
- s. 87D(1) omitted by S.I. 2019/1043 reg. 12(3)
- s. 87D(1) words omitted by S.I. 2019/707 reg. 11(2) (This amendment not applied to legislation.gov.uk. Reg. 11 omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 16(a))
- s. 87D(1A) omitted by S.I. 2019/1043 reg. 12(3)
- s. 87D(1A) omitted by S.I. 2019/707 reg. 11(3) (This amendment not applied to legislation.gov.uk. Reg. 11 omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 16(a))
- s. 87E omitted by S.I. 2019/1043 reg. 13
- s. 87E87F omitted by S.I. 2019/707 reg. 12 (This amendment not applied to legislation.gov.uk. Reg. 12 omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 16(b))
- s. 87F omitted by S.I. 2019/1043 reg. 13
- s. 87G(1)-(4) omitted by S.I. 2019/1043 reg. 15(2)
- s. 87G(5) words substituted by S.I. 2019/1043 reg. 15(3)(a)
- s. 87G(5) words substituted by S.I. 2019/1043 reg. 15(3)(b)
- s. 87G(5) words substituted by S.I. 2019/1043 reg. 15(3)(c)
- s. 87G(6) omitted by S.I. 2019/1043 reg. 15(4)
s. 87G(7) omitted by S.I. 2019/1043 reg. 15(4)

s. 87H omitted by S.I. 2019/1043 reg. 16


s. 87I omitted by S.I. 2019/1043 reg. 16

s. 87K(5) words substituted by S.I. 2019/707 reg. 15 (This amendment not applied to legislation.gov.uk. Reg. 15 omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 16(e))

s. 87K(5)(c) substituted by S.I. 2019/1043 reg. 18(3)

s. 87L(5) words substituted by S.I. 2019/707 reg. 16 (This amendment not applied to legislation.gov.uk. Reg. 16 omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 16(f))

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s. 87M(4) words substituted by S.I. 2019/707 reg. 17 (This amendment not applied to legislation.gov.uk. Reg. 17 omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 16(g))

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s. 87M(5) words inserted by S.I. 2019/1043 reg. 21(3)

s. 87O(1) words substituted by S.I. 2019/1043 reg. 22(3)

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- s. 91(1B)(a)(i) words substituted by S.I. 2019/707 reg. 30(3)
- s. 97(1)(a)(i) word omitted by S.I. 2019/1043 reg. 27(2)(a)
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<tr>
<td>s. 237(2)</td>
<td>words substituted by S.I. 2019/325 reg. 7(2)(a)</td>
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<tr>
<td>s. 237(3)</td>
<td>words inserted by S.I. 2019/325 reg. 7(3)(a)</td>
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<tr>
<td>s. 237(3)</td>
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<td>s. 237(3)</td>
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<tr>
<td>s. 237(3)</td>
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<tr>
<td>s. 243(5)</td>
<td>excluded by Regulation (EU) No. 760/2015, Art. 29(1A) (as substituted) by S.I. 2019/336 reg. 34(2)</td>
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<tr>
<td>s. 243(5)</td>
<td>words omitted by S.I. 2019/325 reg. 8(2)(a)</td>
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<tr>
<td>s. 243(5)</td>
<td>words substituted by S.I. 2019/325 reg. 8(2)(b)</td>
</tr>
<tr>
<td>s. 243(5A)</td>
<td>excluded by Regulation (EU) No. 760/2015, Art. 29(1A) (as substituted) by S.I. 2019/336 reg. 34(2)</td>
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<tr>
<td>s. 243(5A)</td>
<td>substituted by S.I. 2019/325 reg. 8(3)</td>
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<td>s. 243(6)</td>
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<tr>
<td>s. 246(1)</td>
<td>words substituted by S.I. 2019/325 reg. 9</td>
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<td>s. 252A(1)(b)</td>
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<tr>
<td>s. 252A(7)(a)</td>
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<td>s. 256(3)(b)</td>
<td>words omitted by S.I. 2019/325 reg. 11</td>
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<td>s. 257(1)(b)(ii)</td>
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<tr>
<td>s. 257(1)(b)(iii)</td>
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<tr>
<td>s. 258A(2)(b)</td>
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<tr>
<td>s. 258A(4)(b)</td>
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<td>s. 261A</td>
<td>omitted by S.I. 2019/325 reg. 14</td>
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<td>s. 261B(1)(a)</td>
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<td>s. 261B(2)(3)</td>
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<td>s. 261D(5)</td>
<td>excluded by Regulation (EU) No. 760/2015, Art. 29(1A) (as substituted) by S.I. 2019/336 reg. 34(2)</td>
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<td>s. 261D(5)</td>
<td>words omitted by S.I. 2019/325 reg. 16(2)(a)</td>
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<td>s. 261D(5)</td>
<td>words substituted by S.I. 2019/325 reg. 16(2)(b)</td>
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<td>s. 261D(6)</td>
<td>substituted by S.I. 2019/325 reg. 16(3)</td>
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<tr>
<td>s. 261D(7)</td>
<td>omitted by S.I. 2019/325 reg. 16(4)</td>
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<td>s. 261E(4)</td>
<td>words substituted by S.I. 2019/325 reg. 17</td>
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<tr>
<td>s. 261H(1)</td>
<td>words substituted by S.I. 2019/325 reg. 18</td>
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<tr>
<td>s. 261S(1)(b)</td>
<td>word inserted by S.I. 2019/325 reg. 19(2)</td>
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<td>s. 261S(7)(a)</td>
<td>word inserted by S.I. 2019/325 reg. 19(3)</td>
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<tr>
<td>s. 261S(9)(a)(b)</td>
<td>substituted by S.I. 2019/325 reg. 19(4)</td>
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<td>s. 261W(3)(b)</td>
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<tr>
<td>s. 261X(1)(b)(ii)</td>
<td>words substituted by S.I. 2019/325 reg. 21(a)</td>
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<tr>
<td>s. 261X(1)(b)(iii)</td>
<td>words inserted by S.I. 2019/325 reg. 21(b)</td>
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<td>s. 261Z(2)(b)</td>
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<td>s. 261Z(4)(b)</td>
<td>word inserted by S.I. 2019/325 reg. 22(3)</td>
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<td>s. 261Z4</td>
<td>omitted by S.I. 2019/325 reg. 23</td>
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<tr>
<td>s. 261Z5(1)(a)</td>
<td>words inserted by S.I. 2019/325 reg. 24(2)</td>
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<tr>
<td>s. 261Z5(2)(3)</td>
<td>omitted by S.I. 2019/325 reg. 24(3)</td>
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<tr>
<td>s. 263</td>
<td>repealed by 2006 c. 46 Sch. 16</td>
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<tr>
<td>s. 264</td>
<td>amendment to earlier affecting provision S.I. 2001/3084, art. 3A by S.I. 2019/589 reg. 8(2)</td>
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- s. 312E(3)(c) words substituted by S.I. 2019/662 reg. 8(2)(c)(ii)
- s. 312F(2) omitted by S.I. 2019/662 reg. 8(3)
- s. 312G(5) omitted by S.I. 2019/662 reg. 8(5)
- s. 312H(5) omitted by S.I. 2019/662 reg. 8(6)
- s. 312I(a) words omitted by S.I. 2019/662 reg. 8(7)
- s. 312FA(5) omitted by S.I. 2019/662 reg. 8(4)
- s. 313(1) words substituted by S.I. 2019/662 reg. 2
- s. 313D(1) words substituted by S.I. 2019/662 reg. 9(a)
- s. 313(1) words substituted by S.I. 2019/662 reg. 9(b)
- s. 313(1) words substituted by S.I. 2019/662 reg. 9(c)
- s. 313(1) words substituted by S.I. 2019/662 reg. 9(d)
- s. 313(1) words substituted by S.I. 2019/662 reg. 9(e)
- s. 313D(1) words omitted by S.I. 2018/1149 Sch. para. 18
- s. 313D(1) words omitted by S.I. 2019/662 reg. 10(5)(a)(i)
- s. 313D(1) words omitted by S.I. 2019/662 reg. 10(5)(a)(v)
- s. 313D(1) words substituted by S.I. 2019/662 reg. 10(5)(b)(i)
- s. 313D(2)(b)(i) words substituted by S.I. 2019/662 reg. 10(5)(b)(ii)(aa)
- s. 313D(2)(b)(ii) words substituted by S.I. 2019/662 reg. 10(5)(b)(ii)(bb)
- s. 313CB(5) substituted by S.I. 2019/662 reg. 10(3)(a)
- s. 313CB(6)(c) substituted by S.I. 2019/662 reg. 10(3)(b)
- s. 313CC omitted by S.I. 2019/662 reg. 10(4)
- s. 316(4)(b) omitted by S.I. 2019/407 reg. 5(3)
- s. 326(5)(d) omitted by S.I. 2019/632 reg. 63
- s. 327(1)(aa) words substituted by S.I. 2019/632 reg. 64(a)
- s. 327(7A)(a) words substituted by S.I. 2019/632 reg. 64(b)
- s. 327(7B) words omitted by S.I. 2019/632 reg. 64(c)
- s. 327(7C) words substituted by S.I. 2019/632 reg. 64(d)
- s. 328(6) word omitted by S.I. 2019/632 reg. 65(a)
- s. 328(6)(a) word omitted by S.I. 2019/632 reg. 65(b)
- s. 328(6)(b) omitted by S.I. 2019/632 reg. 65(c)
- s. 342 applied (with modifications) by S.I. 2019/926 reg. 2023
- s. 342(8) words substituted by S.I. 2019/632 reg. 67
- s. 343 applied (with modifications) by S.I. 2019/926 reg. 2023
- s. 343(9) omitted by S.I. 2019/632 reg. 68(a)
- s. 343(10) words substituted by S.I. 2019/632 reg. 68(b)
- s. 344 applied (with modifications) by S.I. 2019/926 reg. 2023
- s. 347(2A)(a) word inserted by S.I. 2019/681 reg. 2(2)(a)(i)
- s. 347(2A)(b)(ii) word omitted by S.I. 2019/681 reg. 2(2)(a)(ii)
- s. 347(2A)(c) omitted by S.I. 2019/681 reg. 2(2)(a)(iii)
- s. 347(3A) words substituted by S.I. 2019/681 reg. 2(2)(b)
- s. 347(8A) words omitted by S.I. 2019/681 reg. 2(2)(c)
- s. 348 applied (with modifications) by S.I. 2019/926 reg. 2024
- s. 349 applied (with modifications) by S.I. 2019/926 reg. 2024
- s. 349(3A)(a) words substituted by S.I. 2019/681 reg. 2(3)(a)(i)
- s. 349(3A)(b) words substituted by S.I. 2019/681 reg. 2(3)(a)(ii)
- s. 349(3B) omitted by S.I. 2019/681 reg. 2(3)(b)
- s. 349(5)(b) omitted by S.I. 2019/681 reg. 2(3)(c)
- s. 349(5)(c) words inserted by S.I. 2019/681 reg. 2(3)(d)
- s. 351 amendment to earlier affecting provision SI 2009/209 Sch. 5 para. 5 by S.I. 2013/472 Sch. 2 para. 155(e)
- s. 351 amendment to earlier affecting provision SI 2011/99 Sch. 3 para. 6 by S.I. 2013/472 Sch. 2 para. 196(f)
- s. 352 applied (with modifications) by S.I. 2019/926 reg. 2024
- s. 352(5) words substituted by 2003 c. 44 Sch. 26 para. 54(3)
s. 425A(7) words substituted by S.I. 2019/632 reg. 91(3)(b)

s. 425C substituted by S.I. 2019/632 reg. 92

Sch. 1A omitted by 2018 c. 10 Sch. 3 para. 22

Sch. IZA para. 19-21 applied (with modifications) by S.I. 2019/335 reg. 78

Sch. IZA para. 19-22 applied (with modifications) by S.I. 2019/926 reg. 2028

Sch. IZA para. 23 applied (with modifications) by S.I. 2019/926 reg. 2028

Sch. IZA para. 25 applied (with modifications) by S.I. 2019/926 reg. 2028

Sch. IZA para. 19 modified by S.I. 2019/266 reg. 14(2)

Sch. IZA para. 20 modified by S.I. 2019/266 reg. 14(3)

Sch. IZA para. 21 modified by S.I. 2019/266 reg. 14(4)

Sch. IZA para. 24(a) and word omitted by S.I. 2018/1149 Sch. para. 21

Sch. IZA para. 8(3A) words substituted by S.I. 2019/383 Sch. para. 7(d)

Sch. IZA para. 23(2)(b) words substituted by S.I. 2019/632 reg. 93

Sch. IZB para. 32(a) and word omitted by S.I. 2018/1149 Sch. para. 22

Sch. IZB para. 16(3)(c)(i) word inserted by 2013 c. 33 s. 4(7)

Sch. IZB para. 31(2)(b) words substituted by S.I. 2019/632 reg. 94

Sch. 2 applied by S.I. 2019/792 reg. 23(2)55(8)70(4)

Sch. 2 applied by S.I. 2019/855 reg. 58(8)71(4)

Sch. 2 Pt. 2B omitted by S.I. 2018/135 reg. 50

Sch. 2 para. 13(2)(c) words omitted by S.I. 2019/632 reg. 95

Sch. 3 amendment to earlier affecting provision S.I. 2001/3084, arts. 2-4 by S.I. 2019/589 reg. 5-9

Sch. 3 para. 7A(aa) amendment to earlier affecting provision S.I. 2013/1797 Sch. 1 para. 1(5)(b) by S.I. 2019/328 reg. 20(2)(d) (This S.I. is amended by S.I. 2019/325, reg. 58)

Sch. 3 Pt. 2 omitted by S.I. 2018/1149 reg. 2(5)(a)

Sch. 3 Pt. 3 omitted by S.I. 2018/1149 reg. 2(5)(b)

Sch. 3 para. 6 omitted by S.I. 2019/710 reg. 3(3)

Sch. 4 omitted by S.I. 2018/1149 reg. 2(6)

Sch. 5 para. 1(1)(2) omitted by S.I. 2019/325 reg. 32(2)(a)

Sch. 5 para. 2(1) omitted by S.I. 2019/325 reg. 32(3)

Sch. 5 para. 1(4)(b) substituted by S.I. 2019/325 reg. 32(2)(b)

Sch. 6 para. 2B(7) amendment to earlier affecting provision S.I. 2013/1797 Sch. 1 para. 1(6) by S.I. 2019/328 reg. 20(2)(e) (This S.I. is amended by S.I. 2019/325, reg. 58)

Sch. 6 Pt. 1F omitted by S.I. 2018/1149 Sch. para. 23(2)

Sch. 6 Pt. 1G omitted by S.I. 2018/1149 Sch. para. 23(3)

Sch. 6 para. 4A(6)(a) substituted by S.I. 2019/632 reg. 100(a)

Sch. 6 para. 4A(6)(b) substituted by S.I. 2019/632 reg. 100(b)

Sch. 6 para. 1A(1) words inserted by S.I. 2019/632 reg. 97(2)

Sch. 6 para. 1A(1) words inserted by S.I. 2019/632 reg. 97(3)

Sch. 6 para. 2C(1)(c) words substituted by S.I. 2019/632 reg. 98(a)

Sch. 6 para. 2C(1)(f)(iii) words substituted by S.I. 2019/632 reg. 98(b)

Sch. 6 para. 3B(1)(e) words substituted by S.I. 2019/632 reg. 99(a)

Sch. 6 para. 3B(1)(f)(iii) words substituted by S.I. 2019/632 reg. 99(b)

Sch. 6 para. 4F(2)(e) words substituted by S.I. 2019/632 reg. 101(a)

Sch. 6 para. 4F(2)(f)(iii) words substituted by S.I. 2019/632 reg. 101(b)

Sch. 6 para. 5F(2)(e) words substituted by S.I. 2019/632 reg. 102(a)

Sch. 6 para. 5F(2)(f)(iii) words substituted by S.I. 2019/632 reg. 102(b)

Sch. 6 para. 8(2)(a) words substituted by S.I. 2019/632 reg. 103

Sch. 10A para. 8(6)(b) omitted by S.I. 2019/707 reg. 37(4)(b)

Sch. 10A para. 1(3) substituted by S.I. 2019/707 reg. 37(2)

Sch. 10A para. 8(1)(a) substituted by S.I. 2019/707 reg. 37(4)(a)(i)

Sch. 10A para. 8(1)(b)(ii)(ii) substituted for Sch. 10A para. 8(1)(b)(i)-(iii) by S.I. 2019/707 reg. 37(4)(a)(ii)
– Sch. 10A para. 2(4)(a) words substituted by S.I. 2019/707 reg. 37(3)(a)(ii)
– Sch. 10A para. 2(4)(b) words substituted by S.I. 2019/707 reg. 37(3)(b)(i)
– Sch. 10A para. 2(4)(b) words substituted by S.I. 2019/707 reg. 37(3)(b)(ii)
– Sch. 11 para. 16(2) words inserted by 2004 c. 33 Sch. 27 para. 166 (This amendment not applied to legislation.gov.uk. Sch. 11 repealed (1.7.2005) by S.I. 2005/1433, reg. 2(1), Sch. 1 para. 16)
– Sch. 11A para. 7(1) omitted by S.I. 2019/1043 reg. 35(3)(a)
– Sch. 11A para. 8 omitted by S.I. 2019/1043 reg. 35(3)(c)
– Sch. 11A para. 9 omitted by S.I. 2019/1043 reg. 35(3)(c)
– Sch. 11A Pt. 1 omitted by S.I. 2019/1043 reg. 35(2)
– Sch. 11A para. 7(2)(e) omitted by S.I. 2019/707 reg. 38(6)
– Sch. 11A shoulder reference word substituted by S.I. 2019/1043 reg. 35(4)
– Sch. 11A para. 7(2) words substituted by S.I. 2019/1043 reg. 35(3)(b) (This amendment not applied to legislation.gov.uk. Reg. 38(2)-(5)(7)(8) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 20)
– Sch. 11A para. 2(b) words substituted by S.I. 2019/707 reg. 38(2)(a) (This amendment not applied to legislation.gov.uk. Reg. 38(2)-(5)(7)(8) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 20)
– Sch. 11A para. 2(c) words substituted by S.I. 2019/707 reg. 38(2)(b) (This amendment not applied to legislation.gov.uk. Reg. 38(2)-(5)(7)(8) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 20)
– Sch. 12 para. 1 modified by S.I. 2019/710 Sch. para. 457(2)
– Sch. 12 para. 2 modified by S.I. 2019/710 Sch. para. 457(3)
– Sch. 12 para. 3 modified by S.I. 2019/710 Sch. para. 457(4)
– Sch. 12 para. 3A modified by S.I. 2019/710 Sch. para. 457(5)
– Sch. 12 para. 2(3) omitted by S.I. 2019/632 reg. 106(2)(b) (This amendment not applied to legislation.gov.uk. Reg. 106(2) omitted immediately before exit day by virtue of S.I. 2019/680, regs. 1(3), 9(6))
– Sch. 12 para. 2(6)(a) omitted by S.I. 2019/632 reg. 106(3)(a)
– Sch. 12 para. 2(6)(aa) omitted by S.I. 2019/632 reg. 106(3)(a)
– Sch. 12 para. 2(7A) omitted by S.I. 2019/632 reg. 106(4)
– Sch. 12 para. 2(9) omitted by S.I. 2019/632 reg. 106(4)
– Sch. 12 para. 3-6 omitted by S.I. 2019/632 reg. 107
– Sch. 12 para. 8(2)(b) omitted by S.I. 2019/632 reg. 109(b)
– Sch. 12 para. 9 omitted by S.I. 2019/632 reg. 110
– Sch. 12 para. 9C(2)(b) omitted by S.I. 2019/632 reg. 112(b)
– Sch. 12 para. 9D omitted by S.I. 2019/632 reg. 113
– Sch. 12 para. 10(2) omitted by S.I. 2019/632 reg. 114(b)
– Sch. 12 para. 10(3) omitted by S.I. 2019/632 reg. 114(b)
– Sch. 12 para. 1 substituted by S.I. 2019/632 reg. 105
– Sch. 12 para. 2(1)(b) and word substituted by S.I. 2019/632 reg. 106(2)(a) (This amendment not applied to legislation.gov.uk. Reg. 106(2) omitted immediately before exit day by virtue of S.I. 2019/680, regs. 1(3), 9(6))
– Sch. 12 para. 7 substituted by S.I. 2019/632 reg. 108
– Sch. 12 para. 9B substituted by S.I. 2019/632 reg. 111
– Sch. 12 para. 2(6)(c) words omitted by S.I. 2019/632 reg. 106(3)(b)
– Sch. 12 para. 2(6)(c)(i) words omitted by S.I. 2019/632 reg. 106(3)(c)
– Sch. 12 para. 2(6)(c)(ii) words omitted by S.I. 2019/632 reg. 106(3)(c)
– Sch. 12 para. 8(2)(a) words omitted by S.I. 2019/632 reg. 109(a)
– Sch. 12 para. 8(2)(aa) words omitted by S.I. 2019/632 reg. 109(a)
– Sch. 12 para. 9C(2)(a) words omitted by S.I. 2019/632 reg. 112(a)
– Sch. 12 para. 9C(2)(c) words omitted by S.I. 2019/632 reg. 112(c)
– Sch. 12 para. 8(2)(c) words substituted by S.I. 2019/632 reg. 114(c)
– Sch. 12 para. 10(1) words substituted by S.I. 2019/632 reg. 114(a)
– Sch. 12 para. 10(4) words substituted by S.I. 2019/632 reg. 114(c)
– Sch. 13 amendment to earlier affecting provision SI 2008/3249 Sch. para. 14-18 by S.I. 2013/472 Sch. 2 para. 152
– Sch. 13 amendment to earlier affecting provision SI 2008/718 Sch. para. 15-19 by S.I. 2013/472 Sch. 2 para. 139
– Sch. 17 para. 1 words omitted by S.I. 2018/1285 reg. 3(2)(a)
– Sch. 17 para. 16D(a) words substituted by 2013 c. 22 Sch. 9 para. 52
– Sch. 17 para. 1 words substituted by S.I. 2018/1285 reg. 3(2)(b)
– Sch. 17 para. 2(2) words substituted by S.I. 2018/1285 reg. 3(3)
– Sch. 17 para. 14(3A) words substituted by S.I. 2018/1285 reg. 3(4)
– Sch. 19 Pt. 1 entry substituted by 2003 c. 20 Sch. 2 para. 24 (This amendment not applied to legislation.gov.uk. Sch. 19 repealed 20.6.2003 by Enterprise Act 2002 (c. 40), ss. 247(k), 278(2), 279, Sch. 26 (with s. 237); S.I. 2003/1397, art. 2(1), Sch.)

Changes and effects yet to be applied to the whole Act associated Parts and Chapters:
– Act power to apply conferred (temp. until 15.5.2039) by 2014 c. 21 s. 79(4)
– Act power to apply conferred (temp. until 15.5.2039) by 2014 c. 21 s. 81(10)

Whole provisions yet to be inserted into this Act (including any effects on those provisions):
– Pt. 20C inserted by 2016 c. 14 s. 30(3)
– s. 3M(2A) inserted by S.I. 2019/632 reg. 10(3)
– s. 55I(6AA) inserted by S.I. 2019/632 reg. 16(3)
– s. 55J(13) inserted by S.I. 2019/632 reg. 16(8)
– s. 84(1A) inserted by S.I. 2019/1043 reg. 5(3)
– s. 85(6A) inserted by S.I. 2019/1043 reg. 6(4)
– s. 85(8) inserted by S.I. 2019/1043 reg. 6(5)
– s. 85(8) omitted by S.I. 2019/1234 reg. 4
– s. 86(1)(aa) substituted for s. 86(1)(a)-(d) by S.I. 2019/1043 reg. 7(3)(a)
– s. 86(4A) inserted by S.I. 2019/1043 reg. 7(8)
– s. 86(9A) inserted by S.I. 2019/707 reg. 8(9) (This amendment not applied to legislation.gov.uk. Reg. 8(6)-(10) omitted (6.9.2019) by virtue of S.I. 2019/1234, regs. 1(2), 13(c))
– s. 87K(6)-(8) inserted by S.I. 2019/1043 reg. 18(4)
– s. 87L(6)-(11) inserted by S.I. 2019/1043 reg. 19(4)
– s. 87JA87JB inserted by S.I. 2019/1043 reg. 17
– s. 87LA inserted by S.I. 2019/1043 reg. 20
– s. 87LA(5) words substituted by S.I. 2019/1234 reg. 6
– s. 89A(4A) inserted by S.I. 2019/707 reg. 19(4)
- Sch. 17A para. 14(2)(f) omitted by S.I. 2019/662 reg. 13(3)(b)
- Sch. 17A para. 11(1)(ab) substituted by S.I. 2019/632 reg. 116(a)(i)
- Sch. 17A para. 11(2)(d) substituted by S.I. 2019/632 reg. 116(b)
- Sch. 17A para. 22 words inserted by S.I. 2018/1184 reg. 5(a)
- Sch. 17A para. 32 words inserted by S.I. 2018/1184 reg. 5(b)
- Sch. 17A para. 33(a) words inserted by S.I. 2018/1184 reg. 5(c)
- Sch. 17A para. 22 words inserted by S.I. 2019/632 reg. 117(1)
- Sch. 17A para. 36(1) words omitted by S.I. 2018/1184 reg. 5(d)
- Sch. 17A para. 36(1) words omitted by S.I. 2019/632 reg. 119(a)
- Sch. 17A para. 10(2) words omitted by S.I. 2019/662 reg. 12
- Sch. 17A para. 11(1)(b) words substituted by S.I. 2019/632 reg. 116(a)(ii)
- Sch. 17A para. 23(1) words substituted by S.I. 2019/632 reg. 117(2)
- Sch. 17A para. 30(a) words substituted by S.I. 2019/632 reg. 118(a)
- Sch. 17A para. 30(c) words substituted by S.I. 2019/632 reg. 118(b)
- Sch. 17A para. 36(2)(b) words substituted by S.I. 2019/632 reg. 119(b)
- Sch. 17A para. 12 words substituted by S.I. 2019/662 reg. 13(1)
- Sch. 17A para. 14(2)(d) words substituted by S.I. 2019/662 reg. 13(3)(a)
- Sch. 17A para. 26(2)(a) words substituted by S.I. 2019/662 reg. 15(1)(a)
- Sch. 17A para. 26(2)(c) words substituted by S.I. 2019/662 reg. 15(1)(b)
- Sch. 17A para. 28(2) words substituted by S.I. 2019/662 reg. 15(2)(a)(i)
- Sch. 17A para. 28(2)(a) words substituted by S.I. 2019/662 reg. 15(2)(a)(ii)
- Sch. 17A para. 28(4)(a) words substituted by S.I. 2019/662 reg. 15(2)(b)
- Sch. 17A para. 32 words substituted by S.I. 2019/662 reg. 16
- Sch. 17A para. 33 words substituted by S.I. 2019/662 reg. 17