



Financial Services and Markets Act 2000

2000 CHAPTER 8

^{F1}PART X

RULES AND GUIDANCE

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Textual Amendments

- F1** Pt. 9A substituted for ss. 138-164 (24.1.2013 for specified purposes, 1.4.2013 in so far as not already in force) by [Financial Services Act 2012 \(c. 21\)](#), ss. [24\(1\)](#), [122\(3\)](#) (with [Sch. 20](#)); [S.I. 2013/113](#), art. [2\(1\)\(c\)](#), [Sch. Pt. 3](#); [S.I. 2013/423](#), art. [3](#), [Sch.](#)

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](#)

Changes and effects yet to be applied to the whole Act associated Parts and Chapters:

- Act applied (with modifications) by [S.I. 2017/1212 reg. 15\(4\)](#)
- Act applied (with modifications) by [S.I. 2017/1212 reg. 16\(2\)\(3\)](#)
- Act modified by [2018 c. 10 s. 31](#)
- 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. 9 applied (with modifications) by [S.I. 2017/1127 Sch. 1 para. 1](#)
- Pt. 9 applied (with modifications) by [S.I. 2017/699 reg. 32](#)
- Pt. 9 applied (with modifications) by [S.I. 2017/752 Sch. 6 para. 2](#)
- Pt. 9 applied (with modifications) by [S.I. 2018/1288 Sch. 1 para. 2](#)
- Pt. 9 applied (with modifications) by [S.I. 2018/135 reg. 18](#)
- Pt. 9 applied (with modifications) by [S.I. 2019/335 reg. 73](#)
- Pt. 9 applied (with modifications) by [S.I. 2019/542 reg. 34](#)
- Pt. 9 applied (with modifications) by [S.I. 2018/1201, reg. 13H \(as inserted\) by S.I. 2019/405 reg. 11](#)
- Pt. 9 applied (with modifications) by [SI 2014/2879, reg. 5C\(12\) \(as inserted\) by S.I. 2017/1064 reg. 5\(9\)](#)
- Pt. 9 applied by [S.I. 2018/1149, reg. 57 \(as inserted\) by S.I. 2019/405 reg. 3](#)
- Pt. 9 applied by [S.I. 2018/1201, Sch. 3 para. 12J\(5\) \(as inserted\) by S.I. 2019/405 reg. 10\(2\)](#)
- Pt. 9 applied by [S.I. 2018/1201, reg. 34\(5\) \(as inserted\) by S.I. 2019/405 reg. 10\(3\)](#)
- Pt. 9 applied by [SI 2014/2879, reg. 5H\(6\) \(as inserted\) by S.I. 2017/1064 reg. 5\(9\)](#)
- Pt. 9 applied by [SI 2014/2879, reg. 5I\(8\) \(as inserted\) by S.I. 2017/1064 reg. 5\(9\)](#)
- Pt. 9 applied by [SI 2014/2879, reg. 5L\(3\) \(as inserted\) by S.I. 2017/1064 reg. 5\(9\)](#)
- Pt. 9A Ch. 2A inserted by [S.I. 2018/1115 reg. 7\(8\)](#)
- Pt. 13A inserted by [S.I. 2018/546 art. 14](#)
- Pt. 13A omitted by [S.I. 2018/1149 Sch. para. 13](#)
- Pt. 20A omitted by [2018 c. 10 Sch. 3 para. 19](#)
- Pt. 20C inserted by [2016 c. 14 s. 30\(3\)](#)
- s. 1A(6)(e) and word inserted by [S.I. 2018/1115 reg. 7\(2\)\(b\)](#)
- s. 1A(6)(cza) inserted by [2018 c. 10 Sch. 3 para. 6](#)
- s. 1A(6)(czb) inserted by [2018 c. 29 s. 11\(10\)\(a\)](#)
- s. 1B(6)(aa) inserted by [S.I. 2018/1115 reg. 7\(3\)](#)
- s. 1B(7A) omitted by [2018 c. 10 Sch. 3 para. 7](#)
- s. 1G(a) word omitted by [S.I. 2018/1253 art. 91\(2\)\(a\)](#)
- s. 1G(a)-(e) word inserted by [S.I. 2018/1253 art. 91\(2\)\(b\)](#)
- s. 1G(d) word omitted by [S.I. 2018/1253 art. 91\(2\)\(c\)](#)
- s. 1G(f) and word inserted by [S.I. 2018/1253 art. 91\(2\)\(d\)](#)
- s. 11A and cross-heading inserted by [2013 c. 33 s. 2](#)
- s. 2B(3)(c) and word inserted by [2013 c. 33 s. 1\(2\)\(b\)](#)
- s. 2B(4A) inserted by [2013 c. 33 s. 1\(4\)](#)
- s. 2J(1)(aa) inserted by [S.I. 2018/1115 reg. 7\(5\)](#)
- s. 2J(3A) inserted by [2013 c. 33 s. 1\(5\)\(b\)](#)
- s. 2AB(3)(c) word omitted by [S.I. 2018/1115 reg. 7\(4\)\(a\)](#)
- s. 2AB(3)(e) and word inserted by [S.I. 2018/1115 reg. 7\(4\)\(b\)](#)
- s. 3I(4)(c) and word inserted by [2013 c. 33 s. 3\(b\)](#)
- s. 3M(2A) inserted by [S.I. 2019/632 reg. 10\(3\)](#)
- s. 21(1)(a) words in s. 21(1) renumbered as s. 21(1)(a) by [2018 c. 10 s. 27\(3\)\(a\)\(i\)](#)

- s. 21(1)(b) and word inserted by 2018 c. 10 s. 27(3)(a)(ii)
- s. 21(10A)(10B) inserted by 2018 c. 10 s. 27(3)(b)
- s. 21(12A) inserted by 2018 c. 10 s. 27(3)(c)
- s. 22(1A)(c) inserted by S.I. 2018/135 reg. 38(c)
- s. 22(1B) inserted by 2018 c. 10 s. 27(4)(a)
- s. 22(6A) inserted by S.I. 2018/135 reg. 38(e)
- s. 55A(2A)(2B) inserted by S.I. 2018/135 reg. 40(2)(b)
- s. 55B(5) inserted by S.I. 2018/135 reg. 40(3)
- s. 55E(3A) inserted by S.I. 2018/135 reg. 40(4)
- s. 55H(3A)(3B) inserted by S.I. 2018/135 reg. 40(5)(c)
- s. 55J(6A)(e)(iv) word inserted by S.I. 2018/698 reg. 2(2)(a)(ii)
- s. 55J(6A)(e)(v) inserted by S.I. 2018/698 reg. 2(2)(a)(iii)
- s. 55J(6A)(e)(v) substituted by S.I. 2019/632 reg. 16(2)(b)(iv)
- s. 55J(6AA) inserted by S.I. 2019/632 reg. 16(3)
- s. 55J(7ZA)(a) word omitted by S.I. 2018/698 reg. 2(2)(b)(i)
- s. 55J(7ZA)(b) word inserted by S.I. 2018/698 reg. 2(2)(b)(ii)
- s. 55J(7ZA)(c) inserted by S.I. 2018/698 reg. 2(2)(b)(iii)
- s. 55J(7ZA)(c) substituted by S.I. 2019/632 reg. 16(6)(b)
- s. 55J(7ZC) inserted by S.I. 2018/135 reg. 40(7)(b)
- s. 55J(13) inserted by S.I. 2019/632 reg. 16(8)
- s. 55M(6A) inserted by S.I. 2018/135 reg. 40(8)
- s. 55R(2)-(3B) omitted by S.I. 2018/1149 Sch. para. 7
- s. 55V(9)(10) inserted by S.I. 2018/546 art. 10(2)
- s. 55X(5) inserted by S.I. 2018/135 reg. 40(9)
- s. 55XA inserted by S.I. 2018/135 reg. 40(10)
- s. 55Z3(3) inserted by S.I. 2018/135 reg. 40(11)
- s. 59ZB inserted by 2016 c. 14 Sch. 4 para. 3
- 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. 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(7)(d)(ii) words substituted by S.I. 2019/707 reg. 8(6)(d)
- s. 86(9)(a)(b) substituted for words by 2018 c. 12 Sch. 19 para. 49
- s. 86(9)(b) words substituted by S.I. 2019/707 reg. 8(8)(b)
- s. 86(9A) inserted by S.I. 2019/707 reg. 8(9)
- s. 87A(11) inserted by S.I. 2019/707 reg. 10(5)
- s. 87D(1A) omitted by S.I. 2019/1043 reg. 12(3)
- s. 87D(1A) omitted by S.I. 2019/707 reg. 11(3)
- 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. 87FB omitted by S.I. 2019/707 reg. 13
- s. 87JA87JB inserted by S.I. 2019/1043 reg. 17
- s. 87LA inserted by S.I. 2019/1043 reg. 20
- s. 89A(4A) inserted by S.I. 2019/707 reg. 19(4)
- s. 89C(5)-(8) inserted by S.I. 2019/707 reg. 21(4)
- s. 89F(1A)(1B) inserted by S.I. 2019/707 reg. 23
- s. 89K(5A) inserted by S.I. 2019/707 reg. 24(3)
- s. 89W(1) words omitted by S.I. 2019/707 reg. 28(2)
- s. 89W(1A)(1B) inserted by S.I. 2019/707 reg. 28(3)
- s. 89W(2) substituted by S.I. 2019/707 reg. 28(4)
- s. 89NA(11) word omitted by S.I. 2019/707 reg. 26(b)
- s. 89NA(11) word substituted by S.I. 2019/707 reg. 26(a)
- s. 89NA(11) words substituted by S.I. 2019/707 reg. 26(c)
- s. 90(11A) inserted by S.I. 2019/1043 reg. 25(3)
- s. 97(1)(a)(iii) inserted by S.I. 2019/1043 reg. 27(2)(c)
- s. 97(1)(b)(iii) inserted by S.I. 2019/1043 reg. 27(3)(c)
- s. 97(1)(ba) words substituted by S.I. 2019/707 reg. 31(c)

- s. 97A inserted by S.I. 2019/1043 reg. 28
- s. 100A(1A) inserted by S.I. 2019/1043 reg. 29(3)
- s. 122B(6)(6A) substituted for s. 122B(6)(7) by S.I. 2019/310 reg. 5(2)(b)
- s. 122D(10A) inserted by S.I. 2019/310 reg. 5(3)(b)
- s. 122HA inserted by S.I. 2018/135 reg. 41
- s. 123(1)(c)(i) word inserted by S.I. 2018/135 reg. 42(1)
- s. 123A(b)(ii) words substituted by S.I. 2019/310 reg. 5(9)(a)
- s. 123A(1)(c) word inserted by S.I. 2018/135 reg. 42(2)
- s. 123B(1)(c) word inserted by S.I. 2018/135 reg. 42(2)
- s. 124(10) word inserted by S.I. 2018/135 reg. 42(3)(b)
- s. 124(10)(b)(ii) words substituted by S.I. 2019/310 reg. 5(11)(a)
- s. 124(10)(c)(i) word omitted by S.I. 2019/310 reg. 5(11)(b)
- s. 124(10)(c)(ii) words substituted by S.I. 2019/310 reg. 5(11)(a)
- s. 129(7)(a) word inserted by S.I. 2019/310 reg. 5(12)(a)(i)
- s. 129(7)(c) omitted and word by S.I. 2019/310 reg. 5(12)(a)(ii)
- s. 129(9)(a) words substituted by S.I. 2019/310 reg. 5(12)(c)
- s. 131F(6A) inserted by S.I. 2018/1321 reg. 2(3)
- s. 131AB(1) s. 131AB renumbered as s. 131AB(1) by S.I. 2019/310 reg. 5(14)(a)
- s. 131AB(1) words omitted by S.I. 2019/310 reg. 5(14)(b)(i)
- s. 131AB(1) words omitted by S.I. 2019/310 reg. 5(14)(b)(iii)
- s. 131AB(1) words omitted by S.I. 2019/310 reg. 5(14)(b)(iv)
- s. 131AB(1) words substituted by S.I. 2019/310 reg. 5(14)(b)(ii)
- s. 131AB(2) inserted by S.I. 2019/310 reg. 5(14)(c)
- s. 133(1A) inserted by S.I. 2017/1064 reg. 2(5)(a)
- s. 133(7A)(ia) inserted by 2013 c. 33 s. 4(2)
- s. 137A(6) inserted by S.I. 2018/1115 reg. 7(6)
- s. 137G(6) inserted by S.I. 2018/1115 reg. 7(7)
- s. 137R(1)(aa) inserted by 2018 c. 10 s. 27(5)(a)
- s. 137R(5)(b)(v) and word inserted by S.I. 2018/546 art. 11(b)
- s. 137R(5A) inserted by S.I. 2019/632 reg. 38(4)
- s. 137FA inserted by 2014 c. 19 s. 44(2)
- s. 137FA(8) words inserted by 2015 c. 8 Sch. 2 para. 21(a)
- s. 137FA(8) words omitted by 2015 c. 8 Sch. 2 para. 21(b)
- s. 137FA(8) words substituted by 2015 c. 8 Sch. 2 para. 21(c)
- s. 137FB(1A)-(1D) inserted by 2018 c. 10 s. 18(2)
- s. 137FB(2) words substituted by 2018 c. 10 s. 18(3)
- s. 137FB(2A) inserted by 2018 c. 10 s. 18(4)
- s. 137FB(3) words substituted by 2018 c. 10 s. 18(5)
- s. 137FB(3A) inserted by 2018 c. 10 s. 18(6)
- s. 137FB(4) words substituted by 2018 c. 10 s. 18(7)
- s. 137FC inserted by 2018 c. 10 s. 20
- s. 137FC(3)(c) words substituted by S.I. 2019/383 Sch. para. 7(b)(i)
- s. 137FC(4) words substituted by S.I. 2019/383 Sch. para. 7(b)(ii)
- s. 137FD inserted by 2018 c. 10 s. 28(2)
- s. 137SA inserted by 2018 c. 10 s. 13(1)
- s. 137SA heading words substituted by S.I. 2019/383 Sch. para. 7(c)
- s. 137SA(1)(a) words substituted by S.I. 2019/383 Sch. para. 7(c)
- s. 137SA(1)(b) words substituted by S.I. 2019/383 Sch. para. 7(c)
- s. 137SB inserted by 2018 c. 10 s. 14(1)
- s. 138E(3)(d) inserted by 2018 c. 10 s. 28(3)(b)
- s. 138F(2) words inserted by 2018 c. 10 Sch. 3 para. 13(a)
- s. 138F(2) words inserted by 2018 c. 10 Sch. 3 para. 13(b)
- s. 138F(2) words inserted by 2018 c. 10 Sch. 3 para. 13(c)
- s. 138F(2) words omitted by 2018 c. 10 Sch. 3 para. 13(d)
- s. 138I(6)(ac) inserted by 2018 c. 10 Sch. 3 para. 14(2)(b)
- s. 138I(6)(ad) inserted by 2018 c. 10 Sch. 3 para. 14(2)(a)
- s. 138I(6)(ae) inserted by 2018 c. 10 Sch. 3 para. 14(2)(c)
- s. 138I(6)(ca) omitted by 2018 c. 10 Sch. 3 para. 14(2)(d)

- s. 138I(6)(cb) omitted by 2018 c. 10 Sch. 3 para. 14(2)(d)
- s. 138S(2)(i) substituted by S.I. 2019/1212 reg. 2(2)
- s. 139A(1A) omitted by 2018 c. 10 Sch. 3 para. 16
- s. 141A(5) inserted by S.I. 2019/632 reg. 41
- s. 168(4)(jb)(jc) substituted for s. 168(4)(jb) by S.I. 2017/1255 reg. 3(4)
- s. 168(4)(jc)(ii) words substituted by S.I. 2019/632 reg. 45(a)
- s. 175(5A)(5B) inserted by 2016 c. 25 Sch. 2 para. 9
- s. 178(2ZA) inserted by S.I. 2018/135 reg. 44
- s. 194(5)(c) word inserted by S.I. 2018/698 reg. 2(3)(a)(ii)
- s. 194(5)(d) inserted by S.I. 2018/698 reg. 2(3)(a)(iii)
- s. 194(6)(7) inserted by S.I. 2018/698 reg. 2(3)(b)
- s. 194D inserted by S.I. 2018/546 art. 12
- s. 195C inserted by S.I. 2018/546 art. 13
- s. 204A(2)(aa) inserted by 2018 c. 29 s. 11(10)(b)(i)
- s. 204A(6)(aa) inserted by 2018 c. 29 s. 11(10)(b)(ii)
- s. 226(5A)-(5B) inserted by S.I. 2017/752 Sch. 8 para. 2(4)(b)
- s. 236A inserted by S.I. 2019/325 reg. 6
- s. 243A inserted by S.I. 2018/698 reg. 2(7)
- s. 257(1)(b)(ili) inserted by S.I. 2018/698 reg. 2(9)(c)
- s. 257(1)(b)(iii) words inserted by S.I. 2019/325 reg. 12(b)
- s. 261C(2A) inserted by S.I. 2018/698 reg. 2(10)(c)
- s. 261X(1)(b)(iii) inserted by S.I. 2018/698 reg. 2(15)(c)
- s. 261X(1)(b)(iii) words inserted by S.I. 2019/325 reg. 21(b)
- s. 261EA inserted by S.I. 2018/698 reg. 2(13)
- s. 283A(3A) inserted by S.I. 2019/325 reg. 27(4)
- s. 285(1)(e)-(g) inserted by S.I. 2017/1064 reg. 2(9)(b)(ii)
- s. 285(1)(g) substituted for s. 285(1)(f)(g) by S.I. 2019/662 reg. 5(2)(a)
- s. 285(3D)-(3H) inserted by S.I. 2017/1064 reg. 2(9)(c)
- s. 285(3E)(3F) omitted by S.I. 2019/662 reg. 5(2)(b)
- s. 285(3G) words substituted by S.I. 2019/662 reg. 5(2)(c)
- s. 285(3H) words omitted by S.I. 2019/662 reg. 5(2)(d)
- s. 285(3ZA) inserted by S.I. 2018/135 reg. 45
- s. 287A omitted by S.I. 2019/662 reg. 5(4)
- s. 288(A1) inserted by S.I. 2017/1064 reg. 2(12)
- s. 288A inserted by S.I. 2017/1064 reg. 2(13)
- s. 288A words substituted by S.I. 2019/662 reg. 5(5)
- s. 289(5) inserted by S.I. 2017/1064 reg. 2(14)
- s. 289(5) words substituted by S.I. 2019/662 reg. 5(6)
- s. 290(1)(d) and word inserted by S.I. 2017/1064 reg. 2(15)(a)(ii)
- s. 290(1E)(1F) inserted by S.I. 2017/1064 reg. 2(15)(b)
- s. 290(4A)(4B) inserted by S.I. 2017/1064 reg. 2(15)(c)
- s. 290(5A) inserted by S.I. 2017/1064 reg. 2(15)(d)
- s. 290ZB inserted by S.I. 2017/1064 reg. 2(16)
- s. 292(3)(a)(ii) substituted by S.I. 2019/662 reg. 5(8)
- s. 293(5A) inserted by S.I. 2017/1064 reg. 2(18)(b)
- s. 293(7A) inserted by S.I. 2017/1064 reg. 2(18)(c)
- s. 293(7A) words substituted by S.I. 2019/662 reg. 5(9)(b)
- s. 293A(1) text renumbered by S.I. 2017/1064 reg. 2(19)(a)
- s. 293A(1) words substituted by S.I. 2019/662 reg. 5(10)(b)
- s. 293A(2)(3) inserted by S.I. 2017/1064 reg. 2(19)(b)
- s. 293A(2) words substituted by S.I. 2019/662 reg. 5(10)(c)
- s. 293A(3) words substituted by S.I. 2019/662 reg. 5(10)(d)
- s. 294(7) inserted by S.I. 2017/1064 reg. 2(20)
- s. 294(7) words substituted by S.I. 2019/662 reg. 5(11)
- s. 295A inserted by S.I. 2017/1064 reg. 2(21)
- s. 295A heading words substituted by S.I. 2019/662 reg. 5(12)(a)
- s. 295A(1) words substituted by S.I. 2019/662 reg. 5(12)(b)(i)
- s. 295A(1) words substituted by S.I. 2019/662 reg. 5(12)(b)(ii)

- s. 295A(2) omitted by S.I. 2019/662 reg. 5(12)(c)
- s. 296(1B) inserted by S.I. 2017/1064 reg. 2(22)(b)
- s. 296(1B) omitted by S.I. 2019/662 reg. 5(13)(b)
- s. 296(2B) inserted by S.I. 2017/1064 reg. 2(22)(d)
- s. 296(2B) omitted by S.I. 2019/662 reg. 5(13)(d)
- s. 297(1B) inserted by S.I. 2017/1064 reg. 2(23)(a)
- s. 298(6)(aa) and word inserted by S.I. 2017/1064 reg. 2(24)(b)
- s. 298(6)(aa) words omitted by S.I. 2019/662 reg. 5(15)(a)
- s. 298(6A)(aa)-(ac) inserted by S.I. 2017/1064 reg. 2(24)(c)
- s. 298(6A)(ab) omitted by S.I. 2019/662 reg. 5(15)(b)
- s. 298(7A)(7B) inserted by S.I. 2017/1064 reg. 2(24)(d)
- s. 298(7A) words omitted by S.I. 2019/662 reg. 5(15)(c)
- s. 298(7B) omitted by S.I. 2019/662 reg. 5(15)(d)
- s. 298(9) inserted by S.I. 2017/1064 reg. 2(24)(e)
- s. 298(9) omitted by S.I. 2019/662 reg. 5(15)(e)
- s. 300(1)(c) and word inserted by S.I. 2017/1064 reg. 2(25)(a)(ii)
- s. 312E(1A) inserted by S.I. 2017/1064 reg. 2(27)(a)
- s. 312E(1A) omitted by S.I. 2019/662 reg. 8(2)(a)
- s. 312F(1) text renumbered by S.I. 2017/1064 reg. 2(28)(a)
- s. 312F(2) inserted by S.I. 2017/1064 reg. 2(28)(b)
- s. 312F(2) omitted by S.I. 2019/662 reg. 8(3)
- s. 312G(4)(5) inserted by S.I. 2017/1064 reg. 2(30)(b)
- s. 312G(5) omitted by S.I. 2019/662 reg. 8(5)
- s. 312H(3A)(3B) inserted by S.I. 2017/1064 reg. 2(31)(b)
- s. 312H(5) inserted by S.I. 2017/1064 reg. 2(31)(d)
- s. 312H(5) omitted by S.I. 2019/662 reg. 8(6)
- s. 312J(1)(c) and word inserted by S.I. 2017/1064 reg. 2(33)(a)(iv)
- s. 312J(2)(c) and word inserted by S.I. 2017/1064 reg. 2(33)(b)(iii)
- s. 312FA inserted by S.I. 2017/1064 reg. 2(29)
- s. 312FA(5) omitted by S.I. 2019/662 reg. 8(4)
- s. 313(1A) inserted by S.I. 2017/1064 reg. 2(34)(b)
- 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)(a)(ii)
- s. 313D(1) words substituted by S.I. 2019/662 reg. 10(5)(a)(iii)
- s. 313D(1) words substituted by S.I. 2019/662 reg. 10(5)(a)(iv)
- s. 313D(1) words substituted by S.I. 2019/662 reg. 10(5)(a)(vi)
- s. 313D(2)(a) substituted by S.I. 2019/662 reg. 10(5)(b)(i)
- s. 313D(2)(b) word inserted by S.I. 2019/662 reg. 2(b)
- 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. 313CA(4)(5) substituted for s. 313CA(4) by S.I. 2019/662 reg. 10(2)
- 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. 327(9) inserted by S.I. 2018/1253 art. 91(5)
- 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. 354D-354H omitted by S.I. 2019/681 reg. 2(6)
- s. 354D(1)(b)(iii) word omitted by S.I. 2018/786 reg. 2(4)(a)(i)
- s. 354D(1)(c) words substituted by S.I. 2018/786 reg. 2(4)(a)(ii)
- s. 354D(1)(d) and word inserted by S.I. 2018/786 reg. 2(4)(a)(iii)
- s. 354D(5)(a) words substituted by S.I. 2018/786 reg. 2(4)(b)(i)
- s. 354D(5)(b) words substituted by S.I. 2018/786 reg. 2(4)(b)(ii)(aa)
- s. 354D(5)(b) words substituted by S.I. 2018/786 reg. 2(4)(b)(ii)(bb)
- s. 354D(8) words substituted by S.I. 2018/786 reg. 2(4)(c)
- s. 354E(1)(a) words substituted by S.I. 2018/786 reg. 2(5)(a)

- s. 354E(2) words substituted by S.I. 2018/786 reg. 2(5)(b)
- s. 354E(8)(a) words substituted by S.I. 2018/786 reg. 2(5)(c)(i)
- s. 354E(8)(b) words substituted by S.I. 2018/786 reg. 2(5)(c)(ii)
- s. 354E(10) words substituted by S.I. 2018/786 reg. 2(5)(d)
- s. 354E(12) words substituted by S.I. 2018/786 reg. 2(5)(e)
- s. 354H inserted by S.I. 2018/546 art. 15
- s. 357(2A)(2B) inserted by S.I. 2018/208 reg. 4(3)(b)
- s. 362(5A) inserted by S.I. 2018/208 reg. 4(4)(a)
- s. 365(5A) inserted by S.I. 2018/208 reg. 4(5)(a)
- s. 371(4A) inserted by S.I. 2018/208 reg. 4(6)(a)
- s. 374(4A) inserted by S.I. 2018/208 reg. 4(7)(a)
- s. 391(1ZB)(ia) inserted by 2013 c. 33 s. 4(3)
- s. 391(8D) inserted by S.I. 2017/1127 Sch. 2 para. 1
- s. 391(8D)(a) word omitted by S.I. 2019/632 reg. 74(7)(a)
- s. 391(8D)(b) words inserted by S.I. 2019/632 reg. 74(7)(b)(ii)
- s. 391(8D)(b) words substituted by S.I. 2019/632 reg. 74(7)(b)(i)
- s. 391(8D)(c) and word inserted by S.I. 2019/632 reg. 74(7)(c)
- s. 391(8E) inserted by S.I. 2018/135 reg. 46
- s. 391(8E) words substituted by S.I. 2019/632 reg. 74(8)
- s. 391(8F) inserted by S.I. 2018/1288 Sch. 2 para. 1
- s. 391(8F) omitted by S.I. 2019/632 reg. 74(9)
- s. 391(8G) inserted by S.I. 2019/1043 reg. 33(1)(b)
- s. 391(8AA) inserted by S.I. 2019/632 reg. 74(4)
- s. 391(8BA) inserted by S.I. 2019/632 reg. 74(6)
- s. 391D(9)(a) words substituted by 2018 c. 12 Sch. 19 para. 52
- s. 391E inserted by S.I. 2018/546 art. 16
- s. 391E heading words substituted by S.I. 2019/632 reg. 79(2)
- s. 391E(1) words substituted by S.I. 2019/632 reg. 79(3)
- s. 391E(5) omitted by S.I. 2019/632 reg. 79(4)
- s. 391F inserted by S.I. 2019/1043 reg. 33(2)
- s. 395(13)(za) inserted by S.I. 2018/135 reg. 47
- s. 398(1A)(f) word omitted by S.I. 2018/135 reg. 48(2)
- s. 398(1A)(g) word inserted by S.I. 2018/135 reg. 48(3)
- s. 398(1A)(g) word omitted by S.I. 2018/698 reg. 2(16)(a)
- s. 398(1A)(h) inserted by S.I. 2018/135 reg. 48(4)
- s. 398(1A)(h) word inserted by S.I. 2018/698 reg. 2(16)(b)
- s. 398(1A)(h) word omitted by S.I. 2019/1043 reg. 34(2)(a)
- s. 398(1A)(i) inserted by S.I. 2018/698 reg. 2(16)(c)
- s. 398(1A)(i) word inserted by S.I. 2019/1043 reg. 34(2)(b)
- s. 398(1A)(j) inserted by S.I. 2019/1043 reg. 34(2)(c)
- s. 404E(1)(c) and word inserted by S.I. 2018/1253 art. 91(6)(a)(iv)
- s. 404E(2)(c)(i) words in s. 404E(2)(c) substituted for s. 404E(2)(c)(i) by S.I. 2018/1253 art. 91(6)(b)
- s. 404E(2)(c)(ii) and word inserted by S.I. 2018/1253 art. 91(6)(b)
- s. 409(7)-(12) inserted by S.I. 2019/589 reg. 2(5)
- s. 410(4)(da) inserted by S.I. 2017/1064 reg. 2(36)
- s. 417(1A) inserted by S.I. 2019/632 reg. 85(14)
- s. 419A419B inserted by 2018 c. 10 s. 27(11)
- s. 423A inserted by S.I. 2019/632 reg. 89
- s. 425(1)(aa) inserted by S.I. 2018/698 reg. 2(18)(b)
- s. 425(1)(aa) omitted by S.I. 2019/325 reg. 31
- s. 425A(2)(d) and word inserted by S.I. 2018/1253 art. 91(7)(d)
- s. 427A(3) words substituted by 2002 c. 40 Sch. 17 para. 59 (This amendment not applied to legislation.gov.uk. The Financial Services and Markets Act 2000 does not contain a section 427A.)
- s. 429(4)(h) inserted by 2018 c. 10 s. 27(12)(b)(iii)
- s. 429(7A)(7B) inserted by 2018 c. 10 s. 27(12)(c)

- s. 1378A applied (with modifications) by 2013 c. 13, Sch. 4 para. 9A(5)(6) (as inserted) by [S.I. 2018/1115 reg. 10\(5\)\(c\)](#)
- Sch. 1ZA para. 8(3A) inserted by [2018 c. 10 Sch. 3 para. 21\(2\)\(b\)](#)
- Sch. 1ZA para. 11(1)(ia) inserted by [2018 c. 10 Sch. 3 para. 21\(3\)\(b\)](#)
- Sch. 1ZA para. 23(2ZA)(c) inserted by [2018 c. 10 Sch. 3 para. 21\(5\)\(b\)\(iii\)](#)
- Sch. 1ZA para. 8(3)(f)(g) inserted by [S.I. 2018/1115 reg. 7\(9\)\(a\)](#)
- Sch. 1ZA para. 8(3)(e) omitted by [2018 c. 10 Sch. 3 para. 21\(2\)\(a\)\(ii\)](#)
- Sch. 1ZA para. 11(1)(hb) omitted by [2018 c. 10 Sch. 3 para. 21\(3\)\(a\)](#)
- Sch. 1ZA para. 21(2)(e) and word omitted by [2018 c. 10 Sch. 3 para. 21\(4\)\(b\)](#)
- Sch. 1ZA para. 23(2ZA)(a) and word omitted by [2018 c. 10 Sch. 3 para. 21\(5\)\(b\)\(i\)](#)
- Sch. 1ZA para. 23(2ZA)(b) words substituted by [2018 c. 10 Sch. 3 para. 21\(5\)\(b\)\(ii\)](#)
- Sch. 1ZA para. 23(2ZA)(c) words substituted by [2018 c. 10 Sch. 3 para. 21\(5\)\(b\)\(iv\)](#)
- Sch. 1ZA para. 8(3A) words substituted by [S.I. 2019/383 Sch. para. 7\(d\)](#)
- Sch. 1ZB para. 19(1A)(1B) inserted by [2013 c. 33 s. 5\(2\)](#)
- Sch. 3 para. 13(1)(ca) inserted by [S.I. 2018/546 art. 17\(8\)\(b\)](#)
- Sch. 3 para. 13(3C) inserted by [S.I. 2018/546 art. 17\(8\)\(e\)](#)
- Sch. 3 para. 14(3AZA) inserted by [S.I. 2018/546 art. 17\(9\)\(b\)](#)
- Sch. 3 para. 19(5)(aa) inserted by [S.I. 2018/546 art. 17\(10\)\(b\)](#)
- Sch. 3 para. 19(11ZA) inserted by [S.I. 2018/546 art. 17\(10\)\(g\)](#)
- Sch. 3 para. 19(12A)(aa) inserted by [S.I. 2018/546 art. 17\(10\)\(h\)](#)
- Sch. 3 para. 20(4I)(c)(d) inserted by [S.I. 2018/546 art. 17\(12\)](#)
- Sch. 6 para. 4A(5)(6) inserted by [S.I. 2017/1212 reg. 4\(2\)\(a\)](#)
- Sch. 6 para. 5A(d) inserted by [S.I. 2017/1212 reg. 4\(2\)\(b\)\(iii\)](#)
- Sch. 6 para. 4A(7) inserted by [S.I. 2019/632, reg. 100\(c\)](#) (as inserted) by [S.I. 2019/1233 reg. 5\(d\)](#)
- 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. 11A para. 5(3) inserted by [S.I. 2019/707 reg. 38\(5\)\(b\)](#)
- Sch. 17 para. 14(3A) words substituted by [S.I. 2018/1285 reg. 3\(4\)](#)
- Sch. 17A para. 11(1)(aa)(ab) inserted by [S.I. 2017/1064 reg. 2\(39\)\(c\)\(i\)](#)
- Sch. 17A para. 13(1A) inserted by [S.I. 2017/1064 reg. 2\(39\)\(e\)\(ii\)](#)
- Sch. 17A para. 14(2)(f) inserted by [S.I. 2017/1064 reg. 2\(39\)\(f\)\(ii\)](#)
- Sch. 17A para. 25(2) inserted by [S.I. 2017/1064 reg. 2\(39\)\(o\)\(ii\)](#)
- Sch. 17A para. 35(2)(d) inserted by [S.I. 2017/1064 reg. 2\(39\)\(v\)\(ii\)\(dd\)](#)
- Sch. 17A para. 36(3)(c) inserted by [S.I. 2017/1064 reg. 2\(39\)\(w\)\(ii\)\(cc\)](#)
- Sch. 17A para. 10(5) inserted by [S.I. 2018/1115 reg. 7\(11\)\(a\)](#)
- Sch. 17A para. 36(ba) inserted by [S.I. 2018/1115 reg. 7\(11\)\(b\)\(ii\)](#)
- Sch. 17A para. 23A and cross-heading inserted by [S.I. 2019/662 reg. 14](#)
- Sch. 17A para. 13(1A) omitted by [S.I. 2019/662 reg. 13\(2\)](#)
- 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. 25(1) text renumbered by [S.I. 2017/1064 reg. 2\(39\)\(o\)\(i\)](#)
- Sch. 17A para. 35(2)(c) word inserted by [S.I. 2017/1064 reg. 2\(39\)\(v\)\(ii\)\(cc\)](#)
- Sch. 17A para. 36(3)(b) word inserted by [S.I. 2017/1064 reg. 2\(39\)\(w\)\(ii\)\(bb\)](#)
- Sch. 17A para. 35(2)(b) word omitted by [S.I. 2017/1064 reg. 2\(39\)\(v\)\(ii\)\(aa\)](#)
- Sch. 17A para. 36(3)(a) word omitted by [S.I. 2017/1064 reg. 2\(39\)\(w\)\(ii\)\(aa\)](#)
- Sch. 17A para. 36(2)(b) word omitted by [S.I. 2018/1115 reg. 7\(11\)\(b\)\(i\)](#)
- Sch. 17A para. 7 words inserted by [S.I. 2017/1064 reg. 2\(39\)\(a\)](#)
- Sch. 17A para. 10(2) words inserted by [S.I. 2017/1064 reg. 2\(39\)\(b\)](#)
- Sch. 17A para. 11(1)(b) words inserted by [S.I. 2017/1064 reg. 2\(39\)\(c\)\(ii\)](#)
- Sch. 17A para. 12 words inserted by [S.I. 2017/1064 reg. 2\(39\)\(d\)](#)
- Sch. 17A para. 13(1) words inserted by [S.I. 2017/1064 reg. 2\(39\)\(e\)\(i\)](#)
- Sch. 17A para. 14(2)(a)-(e) words inserted by [S.I. 2017/1064 reg. 2\(39\)\(f\)\(i\)](#)
- Sch. 17A para. 17(2) words inserted by [S.I. 2017/1064 reg. 2\(39\)\(g\)\(i\)](#)
- Sch. 17A para. 17(3)(a) words inserted by [S.I. 2017/1064 reg. 2\(39\)\(g\)\(ii\)](#)
- Sch. 17A para. 17(3)(c) words inserted by [S.I. 2017/1064 reg. 2\(39\)\(g\)\(ii\)](#)
- Sch. 17A para. 17(4) words inserted by [S.I. 2017/1064 reg. 2\(39\)\(g\)\(iii\)](#)

- Sch. 17A para. 18 words inserted by S.I. 2017/1064 reg. 2(39)(h)(i)
- Sch. 17A para. 19 words inserted by S.I. 2017/1064 reg. 2(39)(i)(i)
- Sch. 17A para. 19(2)(b) words inserted by S.I. 2017/1064 reg. 2(39)(i)(iii)
- Sch. 17A para. 20 words inserted by S.I. 2017/1064 reg. 2(39)(j)
- Sch. 17A para. 21 words inserted by S.I. 2017/1064 reg. 2(39)(k)
- Sch. 17A para. 22 words inserted by S.I. 2017/1064 reg. 2(39)(l)
- Sch. 17A para. 23(1) words inserted by S.I. 2017/1064 reg. 2(39)(m)
- Sch. 17A para. 24(2) words inserted by S.I. 2017/1064 reg. 2(39)(n)
- Sch. 17A para. 26(2)(a) words inserted by S.I. 2017/1064 reg. 2(39)(p)
- Sch. 17A para. 28(2) words inserted by S.I. 2017/1064 reg. 2(39)(q)(i)
- Sch. 17A para. 28(2)(a) words inserted by S.I. 2017/1064 reg. 2(39)(q)(ii)
- Sch. 17A para. 28(4)(a) words inserted by S.I. 2017/1064 reg. 2(39)(q)(iii)
- Sch. 17A para. 30(a) words inserted by S.I. 2017/1064 reg. 2(39)(r)
- Sch. 17A para. 32 words inserted by S.I. 2017/1064 reg. 2(39)(s)
- Sch. 17A para. 33(a) words inserted by S.I. 2017/1064 reg. 2(39)(t)
- Sch. 17A para. 34 words inserted by S.I. 2017/1064 reg. 2(39)(u)(i)
- Sch. 17A para. 34(5)(c) words inserted by S.I. 2017/1064 reg. 2(39)(u)(ii)
- Sch. 17A para. 34(8) words inserted by S.I. 2017/1064 reg. 2(39)(u)(iii)
- Sch. 17A para. 35(1) words inserted by S.I. 2017/1064 reg. 2(39)(v)(i)
- Sch. 17A para. 35(2)(c) words inserted by S.I. 2017/1064 reg. 2(39)(v)(ii)(bb)
- 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. 18(2) words substituted by S.I. 2017/1064 reg. 2(39)(h)(ii)
- Sch. 17A para. 19(2)(a) words substituted by S.I. 2017/1064 reg. 2(39)(i)(ii)
- Sch. 17A para. 36(1) words substituted by S.I. 2017/1064 reg. 2(39)(w)(i)
- 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