

*Status: Point in time view as at 23/07/2015.*

*Changes to legislation: Financial Services and Markets Act 2000, SCHEDULE 15 is up to date with all changes known to be in force on or before 20 June 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details)*

## SCHEDULES

### SCHEDULE 15

Sections 165(11) and 171(4).

#### INFORMATION AND INVESTIGATIONS: CONNECTED PERSONS

#### PART I

#### RULES FOR SPECIFIC BODIES

##### Modifications etc. (not altering text)

- C1** Sch. 15 Pt. I (paras. 1-7) modified (1.12.2001) by [S.I. 2001/2657](#), [arts. 1\(1\)](#), [15\(2\)](#) (which was revoked (8.10.2001) by [S.I. 2001/3083](#), [arts. 1\(2\)](#), [23](#)); [S.I. 2001/3538](#), [art. 2\(1\)](#)  
Sch. 15 Pt. I (paras. 1-7) modified (1.12.2001) by [S.I. 2001/3083](#), [arts. 1\(2\)](#), [15\(2\)](#); [S.I. 2001/3538](#), [art. 2\(1\)](#)  
Sch. 15 Pt. I (paras. 1-7) amended (*temp.* from 11.8.2001 to 1.12.2001) by [S.I. 2001/2659](#), [arts. 1\(2\)](#), [2\(2\)](#); [S.I. 2001/3538](#), [art. 2\(1\)](#)
- C2** Sch. 15 Pt. I modified (8.4.2002) by [The Financial Services and Markets Act 2000 \(Permission and Applications\) \(Credit Unions etc.\) Order 2002](#) ([S.I. 2002/704](#)), [art. 8\(2\)](#)
- C3** Sch. 15 Pt. 1 modified (31.12.2011) by [The Financial Services and Markets Act 2000 \(Permissions, Transitional Provisions and Consequential Amendments\) \(Northern Ireland Credit Unions\) Order 2011](#) ([S.I. 2011/2832](#)), [art. 9\(2\)](#)
- C4** Sch. 15 Pt. I modified (31.12.2013) by [The Financial Services and Markets Act 2000 \(Consumer Credit\) \(Transitional Provisions\) Order 2013](#) ([S.I. 2013/3128](#)), [arts. 1\(1\)](#), [4\(4\)](#)

##### *Corporate bodies*

- 1 If the authorised person (“BC”) is a body corporate, a person who is or has been—
- an officer or manager of BC or of a parent undertaking of BC;
  - an employee of BC;
  - an agent of BC or of a parent undertaking of BC.

##### *Partnerships*

- 2 If the authorised person (“PP”) is a partnership, a person who is or has been a member, manager, employee or agent of PP.

##### *Unincorporated associations*

- 3 If the authorised person (“UA”) is an unincorporated association of persons which is neither a partnership nor an unincorporated friendly society, a person who is or has been an officer, manager, employee or agent of UA.

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#### *Friendly societies*

- 4 (1) If the authorised person (“FS”) is a friendly society, a person who is or has been an officer, manager or employee of FS.
- (2) In relation to FS, “officer” and “manager” have the same meaning as in section 119(1) of the <sup>M1</sup>Friendly Societies Act 1992.

#### **Marginal Citations**

**M1** 1992 c. 40.

#### *Building societies*

- 5 (1) If the authorised person (“BS”) is a building society, a person who is or has been an officer or employee of BS.
- (2) In relation to BS, “officer” has the same meaning as it has in section 119(1) of the <sup>M2</sup>Building Societies Act 1986.

#### **Marginal Citations**

**M2** 1986 c. 53.

#### *Individuals*

- 6 If the authorised person (“IP”) is an individual, a person who is or has been an employee or agent of IP.

#### *Application to sections 171 and 172*

- 7 For the purposes of sections 171 and 172, if the person under investigation is not an authorised person the references in this Part of this Schedule to an authorised person are to be taken to be references to the person under investigation.

## **PART II**

### ADDITIONAL RULES

- 8 A person who is, or at the relevant time was, the partner, manager, employee, agent, appointed representative, banker, auditor, actuary or solicitor of—
- (a) the person under investigation (“A”);
  - (b) a parent undertaking of A;
  - (c) a subsidiary undertaking of A;
  - (d) a subsidiary undertaking of a parent undertaking of A; or
  - (e) a parent undertaking of a subsidiary undertaking of A.

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