

*Status: Point in time view as at 01/12/2004.*

**Changes to legislation:** Financial Services and Markets Act 2000, SCHEDULE 7 is up to date with all changes known to be in force on or before 22 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 7

Section 72(2).

#### THE AUTHORITY AS COMPETENT AUTHORITY FOR PART VI

##### *General*

- 1 This Act applies in relation to the Authority when it is exercising functions under Part VI as the competent authority subject to the following modifications.

##### *The Authority's general functions*

- 2 In section 2—
- (a) subsection (4)(a) does not apply to listing rules;
  - (b) subsection (4)(c) does not apply to general guidance given in relation to Part VI; and
  - (c) subsection (4)(d) does not apply to functions under Part VI.

##### *Duty to consult*

- 3 Section 8 does not apply.

##### *Rules*

- 4 (1) Sections 149, 153, 154 and 156 do not apply.
- (2) Section 155 has effect as if—
- (a) the reference in subsection (2)(c) to the general duties of the Authority under section 2 were a reference to its duty under section 73; and
  - (b) section 99 were included in the provisions referred to in subsection (9).

##### *Statements of policy*

- 5 (1) Paragraph 5 of Schedule 1 has effect as if the requirement to act through the Authority's governing body applied also to the exercise of its functions of publishing statements under section 93.
- (2) Paragraph 1 of Schedule 1 has effect as if section 93 were included in the provisions referred to in sub-paragraph (2)(d).

##### *Penalties*

- 6 Paragraph 16 of Schedule 1 does not apply in relation to penalties under Part VI (for which separate provision is made by section 100).

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### *Fees*

- 7 Paragraph 17 of Schedule 1 does not apply in relation to fees payable under Part VI (for which separate provision is made by section 99).

### *Exemption from liability in damages*

- 8 Schedule 1 has effect as if—
- (a) sub-paragraph (1) of paragraph 19 were omitted (similar provision being made in relation to the competent authority by section 102); and
  - (b) for the words from the beginning to “(a)” in sub-paragraph (3) of that paragraph, there were substituted “ Sub-paragraph (2) does not apply ”.

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