
Changes to legislation: Compensation Act 2006, Cross Heading: Enforcement is up to date with all changes known to be in force on or before 26 April 2023. 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) View outstanding changes

SCHEDULE

CLAIMS MANAGEMENT REGULATIONS

Enforcement

- 13 Regulations may permit or require the Regulator to take action of a specified kind for the purpose of assessing compliance with terms or conditions of authorisations.
- 14 (1) Regulations may enable the Regulator, for the purpose of investigating a complaint about the activities of an authorised person or for the purpose of assessing compliance with terms and conditions of an authorisation, to require the provision of information or documents.
- (2) The Regulations may provide that on an application by the Regulator a judge of the High Court, Circuit judge or justice of the peace may issue a warrant authorising the Regulator
- [^{F1}(a) to enter and search premises on which a person conducts or is alleged to conduct regulated claims management business, for the purposes of—
- (i) investigating a complaint about the activities of an authorised person, or
- (ii) assessing compliance with terms and conditions of an authorisation, and
- (b) to take possession of written or electronic records found on the search for the purposes of taking copies in accordance with regulations under sub-paragraph (3).]
- (3) Regulations may enable the Regulator to take copies of written or electronic records found on a search by virtue of sub-paragraph (2) for a purpose specified in that subsection.
- (4) Regulations may enable the Regulator to [^{F2}require an authorised person to pay a penalty, or to impose conditions on, suspend or cancel a person's authorisation,] if—
- (a) a requirement imposed by virtue of sub-paragraph (1) is not complied with, or
- (b) an attempt to exercise a power by virtue of sub-paragraph (2) or (3) is obstructed.
- (5) In this paragraph a reference to the Regulator includes a reference to a person authorised by him in writing.
- (6) Regulations shall—
- (a) specify matters of which a judge or justice of the peace must be satisfied, or to which he must have regard, before issuing a warrant under sub-paragraph (2),
- (b) regulate the exercise of a power under or by virtue of sub-paragraph (1), (2) or (3) (whether by restricting the circumstances in which a power may be exercised, by specifying conditions to be complied with in the exercise of a power, or otherwise).

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Textual Amendments

- F1** Words in Sch. para. 14(2) substituted (30.6.2008) by [Legal Services Act 2007 \(c. 29\)](#), ss. 187, 211, [Sch. 19 para. 11\(6\)](#) (with ss. 29, 192, 193); S.I. 2008/1436, [art. 2\(e\)](#)
- F2** Words in Sch. para. 14(4) substituted (21.3.2014) by [Financial Services \(Banking Reform\) Act 2013 \(c. 33\)](#), [ss. 139\(6\)](#), 148(3); S.I. 2014/772, [art. 2](#)

- 15 Regulations may make provision about the exercise by the Regulator of a power under section 8.

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

Whole provisions yet to be inserted into this Act (including any effects on those provisions):

- s. 4(2A) inserted by [2007 c. 29 Sch. 19 para. 2\(2\)](#)
- s. 5(1A) inserted by [2007 c. 29 Sch. 19 para. 3\(2\)](#)
- s. 5(11) inserted by [2007 c. 29 Sch. 19 para. 3\(9\)](#)
- s. 6(3A) inserted by [2007 c. 29 Sch. 19 para. 4](#)
- s. 8(9) inserted by [2007 c. 29 Sch. 19 para. 6\(3\)](#)
- s. 9(2A) inserted by [2007 c. 29 Sch. 19 para. 7](#)