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STATUTORY INSTRUMENTS

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**2001 No. 3650**

**FINANCIAL SERVICES AND MARKETS**

The Financial Services and Markets Act  
2000 (Miscellaneous Provisions) Order 2001

*Made - - - - 9th November 2001*

*Laid before Parliament 9th November 2001*

*Coming into force in accordance with article 1*

THE FINANCIAL SERVICES AND MARKETS ACT  
2000 (MISCELLANEOUS PROVISIONS) ORDER 2001

PART I  
GENERAL

1. Citation and commencement

PART II

AMENDMENTS TO ORDERS MADE UNDER THE ACT

*The Financial Services and Markets Act 2000 (Collective  
Investment Schemes) Order 2001 (S.I. 2001/1062)*

2. Arrangements not amounting to collective investment schemes

*The Financial Services and Markets Act 2000 (Professions)  
(Non-Exempt Activities) Order 2001 (S.I. 2001/1227)*

3. Mortgage activities carried on by members of the professions

*The Financial Services and Markets Act 2000 (Financial Promotion) Order 2001 (S.I. 2001/1335)*

4. Financial promotion exemption for appointed representatives
5. Interests in funeral plan contracts

*Status: This is the original version (as it was originally made). This item of legislation is currently only available in its original format.*

*The Financial Services and Markets Act 2000 (Transitional Provisions) (Authorised Persons etc.) Order 2001 (S.I. 2001/2636)*

6. Persons authorised under the Banking Act 1987
7. Companies authorised under the Insurance Companies Act 1982
8. Friendly societies authorised under the Friendly Societies Act 1992
9. Building societies authorised under the Building Societies Act 1986
10. Disqualification directions on the public record

*The Financial Services and Markets Act 2000 (Transitional Provisions) (Controllers) Order 2001 (S.I. 2001/2637)*

11. Definition of “the Regulator”
12. Controller approved by self-regulating organisation before commencement

PART III

MISCELLANEOUS PROVISION

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  14. Winding up of persons previously authorised under the Financial Services Act etc.
  15. Winding up of persons previously authorised under the Banking Act
  16. The Rehabilitation of Offenders Act 1974
  17. Disqualification of members of the Financial Services Tribunal
  18. Duty of auditors to communicate matters to the Authority
  19. Reports under the Financial Services Act and the Banking Act
  20. Report under the Insurance Companies Act
  21. Transfer of property, rights and liabilities
  22. Transfer of liabilities
  23. Legal proceedings
  24. Exemption from liability in damages
  25. Fees for the exercise of certain Authority functions
  26. Fees under the Insurance Companies Act
  27. Fees in respect of the existing deficit
  28. The Contracting Out Order
  29. Correction of scope of permission notices as a result of this Order
  30. Correction of scope of permission notices for PIA firms
- Signature  
Explanatory Note