

SCHEDULE

PROVISIONS COMING INTO FORCE ON 25TH FEBRUARY 2001

PART 1

PROVISIONS COMING INTO FORCE FOR ALL PURPOSES

- Section 22 (regulated activities)
- Section 38 (exemption orders)
- Section 41(1) (meaning of “the threshold conditions”)
- Section 79(3) (persons responsible for listing particulars)
- Section 86 (application of Part VI to prospectuses)
- Subsections (4) and (5) of section 87 (approval of prospectuses where no application for listing)
- Section 103 (interpretation of Part VI)
- Section 118(3), (4) and (10) (prescribed markets and qualifying investments)
- Section 132(3) (Financial Services and Markets Tribunal rules)
- Section 134 and 135 (legal assistance scheme)
- Section 137(6) (Tribunal rules: appeals)
- Section 142 (insurance business: regulations supplementing Authority’s rules), except for subsection (5)
- Section 144(4) and (5) (order limiting Authority’s power to make price stabilising rules)
- Section 145(5) (order limiting Authority’s power to make financial promotion rules)
- Section 192(a) (power to provide exemptions from obligation to notify change of control)
- Subsections (6), (8) and (9) of section 215 (rights of compensation scheme in relevant person’s insolvency)
- Sections 235 to 237 (collective investment schemes—interpretation)
- Subsections (1) to (3) of section 239 (single property schemes)
- Section 262 (open-ended investment companies)
- Section 286 (recognition requirements for recognised investment exchanges and clearing houses)
- Section 313 (interpretation of Part XVIII)
- Section 326 (designation of professional bodies)
- Sections 334(1) and (2), 335, 336(1) and (2), 337, 338(1) and (2) and 339 (powers to transfer functions in relation to mutual societies)
- Subsection (5) of section 342 (information given by auditor or actuary to the Authority)
- Subsection (5) of section 343 (information given by auditor or actuary to the Authority: persons with close links)
- Section 351(7) (meaning of “specified enactment” for the purposes of restriction on disclosure of competition information)
- Section 353 (removal of other restrictions on disclosure)
- Subsections (9) to (14) of section 397 (misleading statements and practices: miscellaneous offences)

Status: This is the original version (as it was originally made).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

Section 409 (Gibraltar)

Subsections (1) to (3) of section 414 (service of notices)

Subsections (4) and (5) of section 416 (provisions relating to industrial assurance etc)

Section 417 (interpretation)

Section 419 (carrying on regulated activities by way of business)

Sections 420 to 423 (meaning of parent and subsidiary undertaking etc.)

Subsections (1) and (2) of section 424 (meaning of expressions relating to insurance)

Section 425 (meaning of expressions relating to authorisation elsewhere in the single market)(1)

Sections 426 and 427 (consequential, supplementary and transitional provisions)

Section 429 (Parliamentary control of statutory instruments)

Schedule 2 (regulated activities)

Schedule 9 (non-listing prospectuses), except for paragraph 7

Schedule 11 (offers of securities)

Paragraph 6(2) of Schedule 12 (meaning of “commitment” for purposes of insurance business transfer schemes)

Paragraph 9 of Schedule 13 (Tribunal rules)

(1) Section 425 was amended by S.I.2000/2952 (regulation 8(4)).