
STATUTORY INSTRUMENTS

2006 No. 3384

FINANCIAL SERVICES AND MARKETS

The Financial Services and Markets Act 2000
(Regulated Activities) (Amendment No. 3) Order 2006

Approved by both Houses of Parliament

Made - - - - 18th December 2006

Laid before Parliament 18th December 2006

Coming into force in accordance with article 1(2)

**THE FINANCIAL SERVICES AND MARKETS ACT 2000
(REGULATED ACTIVITIES) (AMENDMENT NO. 3) ORDER 2006**

PART 1

1. Citation, commencement and interpretation

PART 2

2. Amendments of the principal Order
3. In article 3(1) (interpretation)— (a) in paragraph (a) of the...
4. In article 4 (specified activities: general)— (a) for paragraph (4)...
5. In article 14 (dealing in investments as principal)—
6. In article 15 (absence of holding out etc.) after paragraph...
7. In article 16 (dealing in contractually based investments)—
8. In article 19 (risk management) after paragraph (2) insert—
9. In article 21 (dealing in investments as agent)—
10. In article 22 (deals with or through authorised persons) after...
11. In article 23 (risk management) after paragraph (2) insert—
12. In article 25 (arranging deals in investments) after paragraph (2)...
13. After article 25C (arranging regulated home purchase plans) insert—
Operating...
14. In article 29 (arranging deals with or through authorised persons)...
15. In article 30 (arranging transactions in connection with lending on...
16. In article 36 (other exclusions) after paragraph (2) insert—
17. In article 38 (attorneys)— (a) the existing text becomes paragraph...
18. In article 64 (agreeing to carry on specified kinds of...

Status: This is the original version (as it was originally made).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

19. In article 66 (trustees, nominees and personal representatives) after paragraph...
20. In article 67 (activities carried on in the course of...
21. In article 68 (activities carried on in connection with the...
22. In article 69 (groups and joint enterprises) after paragraph (12)...
23. In article 70 (activities carried on in connection with the...
24. In article 72 (overseas persons)— (a) in paragraph (1) after...
25. In article 72E (Business Angel-led Enterprise Capital Funds) after paragraph...
26. In article 83 (options)— (a) the existing text becomes paragraph...
27. In article 84 (futures) after paragraph (1) insert—
28. In article 85 (contracts for differences etc.) after paragraph (2)...
29. For Schedule 2 (Annex to the investment services directive) substitute—...
30. For Schedule 3 (Article 2.2 of the investment services directive)...

PART 3

31. Amendment of the Fair Trading Act 1973
32. Amendment of the Companies Act 1989
33. Amendment of the Terrorism Act 2000

PART 4

34. Amendment of the Consumer Protection (Cancellation of Contracts Concluded away from Business Premises) Regulations 1987
 35. Amendment of the Companies (No. 2) (Northern Ireland) Order 1990
 36. Amendment of the Collective Investment Schemes Order
 37. Amendment of the Carrying on Regulated Activities by Way of Business Order
 38. Amendment of the Consultation with Competent Authorities Regulations
 39. Amendment of the Money Laundering Regulations
 40. Amendment of the Financial Promotion Order
- Signature
Explanatory Note