
STATUTORY INSTRUMENTS

2013 No. 3115

FINANCIAL SERVICES AND MARKETS

The Capital Requirements Regulations 2013

Made - - - - 9th December 2013

Laid before Parliament 10th December 2013

Coming into force in accordance with regulation 1

THE CAPITAL REQUIREMENTS REGULATIONS 2013

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2. Interpretation
- 2A Interpretation: regulators' rules

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3. Capital Requirements Regulations 2006: revocation

PART 3

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4. Main provisions of the capital requirements regulation and Directive 2013/36/EU UK law
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11. Collaboration concerning supervision of cross-border institutions
12. On-the-spot checks and inspections: during CRD transitional period
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14. On-the-spot checks and inspections: powers of EEA competent authorities
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17. Duties to notify EBA and EIOPA

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SCHEDULE 1 — CRD transitional arrangements

In the table below— (a) the provisions specified in the...

SCHEDULE 2 — Amendments to primary and secondary legislation

PART 1 — Amendments to FSMA

1. FSMA is amended as follows.
2. In section 1H(8) (further interpretative provisions for sections 1B to...
3. In section 3M (directions relating to consolidated supervision of groups)...
4. In section 39(8) (exemption of appointed representatives) for “banking consolidation...
5. In section 55J(6A) (variation or cancellation on initiative of regulator)...
6. In section 55R (persons connected with an applicant) , after...
7. In section 55Z2 (notification of EBA) —
8. After section 55Z2 insert— Notification of the European bodies A regulator must notify the European Commission and the European...
9. In section 86(10)(a) (exempt offers to the public) for “banking...
10. In section 184 (disregarded holdings) — (a) for subsection (8)(a)...
11. In section 186(b) (assessment criteria) after “the reputation”, insert “...
12. In section 188 (assessment: consultation with EC competent authorities) in...
13. In section 190(4)(b)(v) (requests for further information) for “banking consolidation...
14. In section 191G(1) (interpretation) , in paragraph (a) of the...
15. After section 194A (contravention by relevant EEA firm with UK...
16. In section 199 — (a) for subsection (7) substitute—
17. In section 301E (disregarded holdings) — (a) for subsection (8)(a)...
18. In section 301M(1) (interpretation) in paragraph (a) of the definition...
19. In section 313D (interpretation of part 18A) in paragraph (c)...
20. (1) Section 342 (information given by auditor or actuary to...

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21. (1) Section 343 (information given by auditor or actuary to...
22. In section 391 (publication) , after subsection (4) insert—
23. After section 391 insert— Publication: special provisions relating to certain...
24. In section 417(1) (definitions) , at the appropriate places, insert—...
25. In section 422 (controller) — (a) in subsection (5)(a)(v) for...
26. In section 422A (disregarded holdings) — (a) for subsection (8)(a)...
27. In section 425(1)(a) (expressions relating to authorisation elsewhere in the...
28. In section 425A(7) (consumers: regulated activities etc carried on by...
29. (1) Schedule 3 (EEA passport rights) is amended as follows...
30. In paragraph 8(6) of Schedule 11A (transferrable securities) for “Article...
PART 2 — Amendments to other primary legislation
31. Superannuation Act 1972
32. Consumer Credit Act 1974
33. Judicial Pensions Act 1981
34. Building Societies Act 1986
35. In paragraph 23 of Schedule 2 to the Building Societies...
36. Judicial Pensions and Retirement Act 1993
37. Criminal Justice Act 1993
38. Bank of England Act 1998
39. For section 41 (general interpretation) substitute— General interpretation In this Act— “the Bank” means the Bank of England;...
40. Terrorism Act 2000
41. Proceeds of Crime Act 2002
42. Companies Act 2006
43. Banking (Special Provisions) Act 2008
44. Counter-Terrorism Act 2008
45. Banking Act 2009
PART 3 — Amendments to secondary legislation
46. Credit Institutions (Protection of Depositors) Regulations 1995
47. Cash Ratio Deposits (Eligible Liabilities) Order 1998
48. Financial Markets and Insolvency (Settlement Finality) Regulations 1999
49. Competition Act 1998 (Small Agreements and Conduct of Minor Significance) Regulations 2000
50. Competition Act 1998 (Determination of Turnover for Penalties) Order 2000
51. Financial Services and Markets Act 2000 (Regulated Activities) Order 2001
52. Financial Services and Markets Act 2000 (Recognition Requirements for Investment Exchanges and Clearing Houses) Regulations 2001
53. Financial Services and Markets Act 2000 (Appointed Representatives) Regulations 2001
54. Financial Services and Markets Act 2000 (Compensation Scheme: Electing Participants) Regulations 2001
55. Financial Services and Markets Act 2000 (Disclosure of Confidential Information) Regulations 2001
56. Financial Services and Markets Act 2000 (EEA Passport Rights) Regulations 2001
57. Financial Services and Markets Act 2000 (Gibraltar) Order 2001
58. Financial Services and Markets Act 2000 (Confidential Information) (Bank of England) (Consequential Provisions) Order 2001
59. Uncertificated Securities Regulations 2001

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60. Enterprise Act 2002 (Merger Fees and Determination of Turnover) Order 2003
61. Financial Collateral Arrangements (No. 2) Regulations 2003
62. Conduct of Employment Agencies and Employment Businesses Regulations 2003
63. Credit Institutions (Reorganisation and Winding Up) Regulations 2004
64. Financial Conglomerates and Other Financial Groups Regulations 2004
65. Building Societies Act 1986 (Modification of the Lending Limit and Funding Limit Calculations) Order 2004
66. Gambling (Operating Licence and Single-Machine Permit Fees) Regulations 2006
67. Financial Services and Markets Act 2000 (Markets in Financial Instruments) Regulations 2007
68. Money Laundering Regulations 2007
69. Regulated Covered Bonds Regulations 2008
70. Payment Services Regulations 2009
71. Banking Act 2009 (Restriction of Partial Property Transfers) Order 2009
72. Financial Services and Markets Act 2000 (Controllers) (Exemption) Order 2009
73. Provision of Services Regulations 2009
74. Occupational and Personal Pension Schemes (Automatic Enrolment) Regulations 2010
75. Electronic Money Regulations 2011
76. Recognised Auction Platforms Regulations 2011
77. Financial Services and Markets Act 2000 (Prescribed Financial Institutions) Order 2013
78. Financial Services and Markets Act 2000 (PRA-regulated Activities) Order 2013
79. Bank of England Act 1998 (Macro-prudential Measures) Order 2013
80. Alternative Investment Fund Managers Regulations 2013

SCHEDULE 3 — Revocations

Explanatory Note

Changes to legislation:

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Changes and effects yet to be applied to :

- Regulations revoked by [2023 c. 29 Sch. 1 Pt. 2](#)