
STATUTORY INSTRUMENTS

2016 No. 715

FINANCIAL SERVICES AND MARKETS

The Financial Services and Markets Act
2000 (Transparency of Securities Financing
Transactions and of Reuse) Regulations 2016

<i>Made</i>	- - - -	<i>7th July 2016</i>
<i>Laid before Parliament</i>		<i>8th July 2016</i>
<i>Coming into force</i>		<i>13th July 2016</i>

**THE FINANCIAL SERVICES AND MARKETS ACT
2000 (TRANSPARENCY OF SECURITIES FINANCING
TRANSACTIONS AND OF REUSE) REGULATIONS 2016**

PART 1

Citation, commencement and interpretation

1. Citation and commencement
2. Interpretation

PART 2

Designation of competent authorities

3. Designation of competent authorities

PART 3

Administration and enforcement

CHAPTER 1

Interpretation

4. Meaning of “non-authorised counterparty”

Status: This is the original version (as it was originally made).

CHAPTER 2

Information gathering

5. Power of the FCA to require information
6. Reports by skilled persons
7. Information and documents: supplemental provisions

CHAPTER 3

Supervisory measures

8. Guidance
9. Directions
10. Directions: procedure

CHAPTER 4

Measures in relation to individuals

11. Temporary prohibition orders
12. Temporary prohibition orders: procedure
13. Contravention of a temporary prohibition order by a recognised body

CHAPTER 5

Disciplinary measures

14. Public censure
15. Financial penalties

CHAPTER 6

Notices and appeals

16. Meaning of “regulator”
17. Warning notices
18. Decision notices
19. Application of Part 26 of the Act
20. Service of notices
21. Appeals
22. The Tribunal

CHAPTER 7

Injunctions

23. Injunctions

CHAPTER 8

Offences

24. Misleading the FCA
25. Restriction on penalties
26. Proceedings for offences
27. Proceedings against unincorporated bodies

PART 4

Review

28. Review

PART 5

Amendments

29. Schedule 1, which contains amendments to primary legislation, has effect....
30. Schedule 2, which contains amendments to secondary legislation, has effect....
Signature

SCCHEDULE 1 — Amendments to primary legislation

1. Financial Services and Markets Act 2000

SCCHEDULE 2 — Amendments to secondary legislation

1. Financial Services and Markets Act 2000 (Regulated Activities) Order 2001
2. Financial Services and Markets Act 2000 (Disclosure of Confidential Information) Regulations 2001
3. Payment to Treasury of Penalties (Enforcement Costs) Order 2013
4. Financial Services and Markets Act 2000 (Qualifying EU Provisions) Order 2013
5. The Financial Services and Markets Act 2000 (Over the Counter Derivatives, Central Counterparties and Trade Repositories) Regulations 2013

Explanatory Note