
STATUTORY INSTRUMENTS

2017 No. 1255

FINANCIAL SERVICES AND MARKETS

**The Financial Services and Markets Act 2000 (Markets
in Financial Instruments) (No.2) Regulations 2017**

Made - - - - 12th December 2017

Laid before Parliament 13th December 2017

Coming into force in accordance with regulation 2

**THE FINANCIAL SERVICES AND MARKETS
ACT 2000 (MARKETS IN FINANCIAL
INSTRUMENTS) (NO.2) REGULATIONS 2017**

1. Citation and commencement
2. These Regulations come into force as follows—
3. Financial Services and Markets Act 2000
4. Financial Services and Markets Act 2000 (Regulated Activities) Order 2001
5. Financial Services and Markets Act 2000 (Recognition Requirements for Investment Exchanges and Clearing Houses) Regulations 2001
6. Occupational Pension Schemes (Investment) Regulations (Northern Ireland) 2005
7. Companies Act 2006
8. Occupational and Personal Pension Schemes (Automatic Enrolment) Regulations (Northern Ireland) 2010
9. Recognised Auction Platform Regulations 2011
10. Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2017
11. Financial Services and Markets Act 2000 (Markets in Financial Instruments) Regulations 2017
12. In regulation 2(1) (interpretation) at the appropriate place insert—
“regulated...
13. In the closing words of regulation 5 (limitation on exempt...
14. In regulation 6 (requirements applying to exempt investment firms)—
15. In regulation 9 (third country firms with an EEA branch:...
16. In regulation 10 (FCA power to intervene in relation to...
17. In regulation 12(1)(b)(ii) (FCA power to intervene in third country...
18. In regulation 14(2) (third country firms: financial promotions)—
19. In regulation 15 (interpretation of Chapter 2) in the definition...

Status: This is the original version (as it was originally made).

20. In regulation 20(2)(b) (ESMA opinions on position limits) for “amending”...
21. In regulation 21(6) (position limits affecting multiple EEA jurisdictions) —...
22. In regulation 22(2)(b) (cooperation with other competent authorities regarding position...
23. In regulation 25(6) (procedure in exceptional cases) after “website” omit...
24. After regulation 28 (FCA power to intervene) insert— Cooperation with...
25. In regulation 29(2) (interpretation of Part 3) at the appropriate...
26. In the opening words of regulation 30(2) (algorithmic trading) after...
27. In regulation 31(provision of information to the FCA concerning algorithmic...
28. In regulation 32(9) (direct electronic access)— (a) in sub-paragraph (a)...
29. In regulation 40 (removal of persons from management boards: procedure) —...
30. In regulation 33(1) (provision of information to the FCA concerning...
31. In regulation 42 (provision of information to ESMA about multilateral...
32. In regulation 45(1) (provision of information to ESMA regarding sanctions...
33. In regulation 46(2) (provision of information to other competent authorities...
34. In paragraph 41 of Schedule 2 (amendments to the Financial...
35. In paragraph 42(4) of Schedule 2 (amendments to the Financial...
36. In paragraph 48(a) of Schedule 2 in the new section...
37. Sub-paragraphs 9(2)(b) and (c) of Schedule 4 (amendments to other...
38. In paragraph 8 of Schedule 5 (amendments to other secondary...
Signature
Explanatory Note