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STATUTORY INSTRUMENTS

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**2018 No. 1288**

**FINANCIAL SERVICES AND MARKETS**

**The Securitisation Regulations 2018**

*Made* - - - - *3rd December 2018*  
*Laid before Parliament* *4th December 2018*  
*Coming into force* *1st January 2019*

**THE SECURITISATION REGULATIONS 2018**

PART 1

Introductory provisions

1. Citation and commencement
2. Interpretation
3. References to technical standards
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PART 2

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CHAPTER 1

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12. Application for authorisation to provide a third party verification service

**Changes to legislation:** There are currently no known outstanding effects for the The Securitisation Regulations 2018. (See end of Document for details)

13. Determination of an application for authorisation to provide a third party verification service
14. Temporary withdrawal of authorisation to provide a third party verification service
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## CHAPTER 2

### Warning notices and decision notices

19. Warning notice
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## CHAPTER 3

### Temporary ban on STS notifications

21. Imposition of a temporary ban
22. Procedure for the imposition, variation or revocation of a temporary ban on STS notifications

## CHAPTER 4

### Right to refer to the Tribunal

23. Right to refer a matter to the Tribunal

## PART 4

### Miscellaneous provisions

24. Consultation in relation to taking certain enforcement action
25. Transparency requirements for originators, sponsors and SSPEs of private securitisations – power of direction
26. Informing the FCA of STS notifications – power of direction
27. Application of the Act and secondary legislation
28. Minor and consequential amendments
29. Review  
Signature

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## SCHEDULE 1 — Application and modification of the Act and secondary legislation

1. Disciplinary powers
2. The Tribunal
3. Information gathering and investigations
4. Disciplinary powers under Part 14
5. Restrictions on disclosure of information

**Changes to legislation:** There are currently no known outstanding effects for the The Securitisation Regulations 2018. (See end of Document for details)

6. Injunctions and restitution
7. Notices
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9. Limitation on powers to require documents
10. Consultation in relation to taking certain enforcement action
11. Penalties and fees
12. (1) Paragraphs 27 to 31 of Schedule 1ZB to the...
13. Exemption from liability in damages
14. The functions of the PRA under these Regulations and its...
15. The Financial Services and Markets Act 2000 (Service of Notices) Regulations 2001
16. The Financial Services and Markets Act 2000 (Over the Counter Derivatives, Central Counterparties and Trade Repositories) Regulations 2013

SCHEDULE 2 — Minor and consequential amendments to primary and secondary legislation

1. The Act
2. The Financial Services and Markets Act (Regulated Activities) Order 2001
3. The Payment to Treasury of Penalties (Enforcement Costs) Order 2013
4. The Financial Services and Markets Act 2000 (Qualifying EU Provisions) Order 2013
5. The Financial Services Act 2012 (Relevant Functions in relation to Complaints Scheme) Order 2014
6. The Public Interest Disclosure (Prescribed Persons) Order 2014

Explanatory Note

**Changes to legislation:**

There are currently no known outstanding effects for the The Securitisation Regulations 2018.