
STATUTORY INSTRUMENTS

2023 No. 966

The Financial Services and Markets Act 2000 (Exemptions from Financial Promotion General Requirement) Regulations 2023

Exemptions from the general requirement relating to financial promotion approval

3. Section 55NA(1) (general requirement relating to financial promotion approval) of the Act does not apply to the giving of approval of the content of a communication by an authorised person (“A”), for communication by an unauthorised person (“U”), where the content of the communication is prepared by—

- (a) A,
- (b) U, where both A and U are members of the same group, or
- (c) U, where U is an appointed representative of A, in relation to any regulated activity comprised in the carrying on of the business for which A, as U’s principal, has accepted responsibility.

Commencement Information

11 Reg. 3 in force at 27.9.2023, see [reg. 1\(2\)](#)

Changes to legislation:

There are outstanding changes not yet made by the legislation.gov.uk editorial team to The Financial Services and Markets Act 2000 (Exemptions from Financial Promotion General Requirement) Regulations 2023. Any changes that have already been made by the team appear in the content and are referenced with annotations.

[View outstanding changes](#)

Changes and effects yet to be applied to :

- reg. 3 words omitted by [S.I. 2023/1411 art. 19\(2\)](#)
- reg. 3(b) words substituted by [S.I. 2023/1411 art. 19\(3\)\(i\)](#)
- reg. 3(b) words substituted by [S.I. 2023/1411 art. 19\(3\)\(ii\)](#)
- reg. 3(c) words substituted by [S.I. 2023/1411 art. 19\(4\)\(i\)](#)
- reg. 3(c) words substituted by [S.I. 2023/1411 art. 19\(4\)\(ii\)](#)
- reg. 3(c) words substituted by [S.I. 2023/1411 art. 19\(4\)\(iii\)](#)