

### SCHEDULE 3

#### Excepted proceedings

10. Proceedings under the Prevention of Fraud (Investments) Act (Northern Ireland) 1940 in respect of an application for, or revocation of,—

- (a) a licence to deal in securities; or
- (b) an order by the Department of Commerce declaring a person to be an exempted dealer for the purposes of that Act; or
- (c) an order by the Department of Commerce declaring a unit trust scheme to be an authorised unit trust scheme for the purposes of that Act,

(including proceedings under section 6 of that Act before the High Court in respect of a licence to deal in securities).