

Status: Point in time view as at 19/06/1995.

Changes to legislation: Financial Services Act 1986 (Repealed), Part I is up to date with all changes known to be in force on or before 21 May 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details)

SCHEDULES

^{F1}SCHEDULE 14

RESTRICTION OF REHABILITATION OF OFFENDERS ACT 1974

Textual Amendments

F1 Sch. 14 amended (12.2.1992) by [S.I. 1992/225, reg.115](#).

Modifications etc. (not altering text)

C1 Sch. 14 continued (with modifications) (S.) (*temp.* from 1.12.2001) by [S.I. 2001/3640, art. 4\(1\)](#)

C1 Sch. 14 amended (*temp.* from 3.9.2001 until 1.12.2001) by [S.I. 2001/2659, art. 6\(2\)](#)

PART I

EXEMPTED PROCEEDINGS

Modifications etc. (not altering text)

C1 Sch. 14 Pt. I continued (1.12.2001) by [S.I. 2001/3650, arts. 1\(a\), 16\(1\)\(a\)](#)

- 1 Any proceedings with respect to a decision or proposed decision of the Secretary of State or a designated agency—
 - (a) refusing, withdrawing or suspending an authorisation;
 - (b) refusing an application under section 28(5) of this Act;
 - (c) giving a direction under section 59 of this Act or refusing an application for consent or for the variation of a consent under that section;
 - (d) exercising a power under Chapter VI of Part I of this Act or refusing an application for the rescission or variation of a prohibition or requirement imposed under that Chapter;
 - (e) refusing to make or revoking an order declaring a collective investment scheme to be an authorised unit trust scheme or a recognised scheme.

- 2 Any proceedings with respect to a decision or proposed decision of a recognised self-regulating organisation—
 - (a) refusing or suspending a person's membership of the organisation;
 - (b) expelling a member of the organisation;
 - (c) exercising a power of the organisation for purposes corresponding to those of Chapter VI of Part I of this Act.

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- 3 (1) Any proceedings with respect to a decision or proposed decision of a recognised professional body—
- (a) refusing or suspending a person’s membership of the body;
 - (b) expelling a member of the body.
- (2) Any proceedings with respect to a decision or proposed decision of a recognised professional body or of any other body or person having functions in respect of the enforcement of the recognised professional body’s rules relating to the carrying on of investment business—
- (a) exercising a power for purposes corresponding to those of Chapter VI of Part I of this Act;
 - (b) refusing, suspending or withdrawing a certificate issued for the purposes of Part I of this Act.
- 4 Any proceedings with respect to a decision or proposed decision of the competent authority under Part IV of this Act refusing an application for listing or to discontinue or suspend the listing of any securities.
- 5 Any proceedings with respect to a decision or proposed decision of the [^{F1}Friendly Societies Commission] or a transferee body, exercising a power exercisable by virtue of paragraph 23 of Schedule 11 to this Act or refusing an application for the rescission or variation of a prohibition or requirement imposed in the exercise of such a power.

Textual Amendments

- F1** Words in [Sch. 14 Pt. I para. 5](#) substituted (1.2.1993 for specified purposes and 1.1.1994 for all remaining purposes) by [Friendly Societies Act 1992 \(c. 40\), s. 98, Sch. 18 Pt. I para. 9\(1\)\(a\)](#) (with ss. 7(5), 93(4)); S.I. 1993/16, art. 2, [Sch.4](#); S.I. 1993/2213, art. 2(1), [Sch.5](#).

- 6 Any proceedings with respect to a decision or proposed decision of a recognised self-regulating organisation for friendly societies—
- (a) refusing or suspending a society’s membership of the organisation;
 - (b) expelling a member of the organisation;
 - (c) exercising a power of the organisation for purposes corresponding to those for which powers are exercisable by the [^{F2}Friendly Societies Commission] by virtue of paragraph 23 of Schedule 11 to this Act.

Textual Amendments

- F2** Words in [Sch. 11 Pt. I para. 6](#) substituted (1.2.1993 for specified purposes and 1.1.1994 for all remaining purposes) by [Friendly Societies Act 1992 \(c. 40\), s. 98, Sch. 18 Pt. I para. 9\(2\)](#) (with ss. 7(5), 93(4)); S.I. 1993/16, art. 2, [Sch.4](#); S.I. 1993/2213, art. 2(1), [Sch.5](#).

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