

*Status: Point in time view as at 19/06/1995.*

*Changes to legislation: Financial Services Act 1986 (Repealed), Cross Heading: Monitoring and enforcement is up to date with all changes known to be in force on or before 22 May 2024.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

### SCHEDULE 4

#### REQUIREMENTS FOR RECOGNITION OF INVESTMENT EXCHANGE

**Modifications etc. (not altering text)**

**C1** Sch. 4 modified (1.3.1994) by S.I. 1994/188, reg. 4(a)

#### *Monitoring and enforcement*

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- (1) The exchange must have adequate arrangements and resources for the effective monitoring and enforcement of compliance with its rules and any clearing arrangements made by it.
  - (2) The arrangements for monitoring may make provision for that function to be performed on behalf of the exchange (and without affecting its responsibility) by any other body or person who is able and willing to perform it.

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