

Status: Point in time view as at 20/07/2012.

Changes to legislation: Financial Services and Markets Act 2000, Cross Heading: Monitoring and enforcement is up to date with all changes known to be in force on or before 13 April 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 1

THE FINANCIAL SERVICES AUTHORITY

Modifications etc. (not altering text)

C1 Sch. 1 extended (17.8.2001) by S.I. 2001/2617, arts. 2(a), 4(3), 8, Sch. 2 para. 2

PART I

GENERAL

Modifications etc. (not altering text)

C1 Sch. 1 Pt. 1 modified (15.12.2007) by The Transfer of Funds (Information on the Payer) Regulations 2007 (S.I. 2007/3298), reg. 4(4)

C1 Sch. 1 Pt. 1 applied (27.11.2008) by Counter-Terrorism Act 2008 (c. 28), ss. 62, 100(2), Sch. 7 para. 41(1) (with s. 101(2), Sch. 7 para. 43)

Monitoring and enforcement

- 6 (1) The Authority must maintain arrangements designed to enable it to determine whether persons on whom requirements are imposed by or under this Act [^{F1}by the emission allowance auctioning regulation][^{F2}, or by any directly applicable [^{F3}Community regulation or decision] made under the markets in financial instruments directive [^{F4}or the UCITS directive],] are complying with them.
- (2) Those arrangements may provide for functions to be performed on behalf of the Authority by any body or person who, in its opinion, is competent to perform them.
- (3) The Authority must also maintain arrangements for enforcing the provisions of, or made under, this Act [^{F5}, the emission allowance auctioning regulation,][^{F6}or of any directly applicable [^{F3}Community regulation or decision] made under the markets in financial instruments directive [^{F4}or the UCITS directive]].
- (4) Sub-paragraph (2) does not affect the Authority's duty under sub-paragraph (1).

Textual Amendments

F1 Words in Sch. 1 para. 6(1) inserted (20.7.2012) by The Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2012 (S.I. 2012/1906), arts. 1, 3(17)(a)

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- F2** Words in Sch. 1 para. 6(1) inserted (1.4.2007 for certain purposes, otherwise 1.11.2007) by [The Financial Services and Markets Act 2000 \(Markets in Financial Instruments\) Regulations 2007 \(S.I. 2007/126\)](#), regs. 1(2), 3(5), [Sch. 5 para. 23\(a\)](#)
- F3** Words in Sch. 1 para. 6(1)(3) substituted (1.7.2011) by [The Undertakings for Collective Investment in Transferable Securities Regulations 2011 \(S.I. 2011/1613\)](#), [reg. 2\(32\)\(a\)](#)
- F4** Words in Sch. 1 para. 6(1)(3) inserted (1.7.2011) by [The Undertakings for Collective Investment in Transferable Securities Regulations 2011 \(S.I. 2011/1613\)](#), [reg. 2\(32\)\(b\)](#)
- F5** Words in Sch. 1 para. 6(3) inserted (20.7.2012) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) Order 2012 \(S.I. 2012/1906\)](#), arts. 1, [3\(17\)\(b\)](#)
- F6** Words in Sch. 1 para. 6(3) inserted (1.4.2007 for certain purposes, otherwise 1.11.2007) by [The Financial Services and Markets Act 2000 \(Markets in Financial Instruments\) Regulations 2007 \(S.I. 2007/126\)](#), regs. 1(2), 3(5), [Sch. 5 para. 23\(b\)](#)

Modifications etc. (not altering text)

- C1** Sch. 1 para. 6 modified (18.7.2002 for certain purposes and 21.8.2002 otherwise) by [The Electronic Commerce Directive \(Financial Services and Markets\) Regulations 2002 \(S.I. 2002/1775\)](#), regs. 1, [12\(2\)](#)
- C2** Sch. 1 Pt. I para. 6(2) applied (with modifications) (17.8.2001) by [S.I. 2001/2617](#), arts. 2(a), 4(3), 8, [Sch. 2 para. 3](#)

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