

Status: Point in time view as at 11/12/2008.

Changes to legislation: Financial Services and Markets Act 2000, PART 1 is up to date with all changes known to be in force on or before 20 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 11A

TRANSFERABLE SECURITIES

PART 1

- 1 Units (within the meaning in section 237(2)) in an open-ended collective investment scheme.
- 2 Non-equity transferable securities issued by
 - (a) the government of an EEA State;
 - (b) a local or regional authority of an EEA State;
 - (c) a public international body of which an EEA State is a member;
 - (d) the European Central Bank;
 - (e) the central bank of an EEA State.
- 3 Shares in the share capital of the central bank of an EEA State.
- 4 Transferable securities unconditionally and irrevocably guaranteed by the government, or a local or regional authority, of an EEA State.
- 5 (1) Non-equity transferable securities, issued in a continuous or repeated manner by a credit institution, which satisfy the conditions in sub-paragraph (2).
 - (2) The conditions are that the transferable securities—
 - (a) are not subordinated, convertible or exchangeable;
 - (b) do not give a right to subscribe to or acquire other types of securities and are not linked to a derivative instrument;
 - (c) materialise reception of repayable deposits; and
 - (d) are covered by a deposit guarantee under directive [94/19/EC](#) of the European Parliament and of the Council on deposit-guarantee schemes.
- 6 Non-fungible shares of capital—
 - (a) the main purpose of which is to provide the holder with a right to occupy any immovable property, and
 - (b) which cannot be sold without that right being given up.]

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