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STATUTORY INSTRUMENTS

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**1992 No. 225**

**The Uncertificated Securities Regulations 1992**

**PART XII**

**ADMISSION AND SUPERVISION OF PARTICIPANTS**

**Provision of information**

**97.**—(1) Each of the following, namely

- (a) any participant;
- (b) any person who appears to the Operator to be or to have been in a position to influence or control the activities of a participant, or a person providing to a participant services relevant to participation;
- (c) any person when acting as an insolvency practitioner in relation to any person falling within sub-paragraph (a) or (b); and
- (d) any person who has provided or made any such guarantee, bond, insurance or similar arrangement as is mentioned in regulation 94(7),

shall furnish the Operator with such information as it may reasonably require, at such times and on such occasions as it may specify, to enable it to be satisfied that a participant has met and continues to meet the requirements for participation.

(2) Any participant shall furnish the Operator with such information as it may reasonably require, at such times and on such occasions as it may specify, for the purpose of performing its functions under these Regulations.

(3) Any information to be furnished to the Operator under this regulation shall, if the Operator so requires, be in such form or verified in such manner as the Operator may specify.

(4) For the purposes of this regulation, “participant” shall include not only a participant as defined in regulation 2, but also a past participant and the agent, or apparent agent (whether present or past) of a participant.