
STATUTORY INSTRUMENTS

2001 No. 2188

FINANCIAL SERVICES AND MARKETS

The Financial Services and Markets Act 2000 (Disclosure of Confidential Information) Regulations 2001

<i>Made</i>	- - - -	<i>15th June 2001</i>
<i>Laid before Parliament</i>		<i>15th June 2001</i>
<i>Coming into force</i>	- -	<i>18th June 2001</i>

The Treasury, in exercise of the powers conferred on them by sections 349(1)(b), (2) and (3), 417(1)^{F1}, 426, 427 and 428(3) of the Financial Services and Markets Act 2000^{F2}, hereby make the following Regulations—

F1 See the definition of “prescribed”.

F2 [2000 c. 8](#).

Changes to legislation:

There are outstanding changes not yet made by the legislation.gov.uk editorial team to The Financial Services and Markets Act 2000 (Disclosure of Confidential Information) Regulations 2001. Any changes that have already been made by the team appear in the content and are referenced with annotations.

[View outstanding changes](#)

Changes and effects yet to be applied to the whole Instrument associated Parts and Chapters:

- Blanket amendment words substituted by [S.I. 2011/1043 art. 3-68-10](#)

Whole provisions yet to be inserted into this Instrument (including any effects on those provisions):

- Pt. 5 Ch. 1 heading Pt. 5 heading substituted and renumbered as Pt. 5 Ch. 1 by [S.I. 2019/681 reg. 4\(14\)](#)
- Pt. 5 Ch. 2 inserted by [S.I. 2019/681 reg. 4\(17\)](#)
- Pt. 5 Ch. 1 heading words substituted in earlier amending provision S.I. 2019/681, reg. 4(14) by [S.I. 2020/1301 reg. 3Sch. para. 41\(c\)](#)
- Pt. 5 Ch. 2 words substituted in earlier amending provision S.I. 2019/681, reg. 4(17) by [S.I. 2020/1301 reg. 3Sch. para. 41\(e\)](#)
- Pt. 3 heading words substituted by [S.I. 2012/916 reg. 3\(5\)](#)
- Pt. 4 heading words substituted by [S.I. 2012/916 reg. 3\(8\)](#)
- Sch. 1 Pt. 5 inserted by [S.I. 2010/2628 Sch. 2 para. 2\(4\)\(c\)](#)
- Sch. 1 Pt. 6 inserted by [S.I. 2020/1406 reg. 6\(5\)\(b\)](#)
- Sch. 1 Pt. 5 omitted by [S.I. 2019/681 reg. 4\(23\)](#)
- Sch. 1 heading words substituted by [S.I. 2012/916 reg. 3\(12\)](#)
- Sch. 2 heading words substituted by [S.I. 2012/916 reg. 3\(14\)](#)
- Sch. 3(b)(x) word substituted by [S.I. 2013/2329 Sch. para. 34\(c\)\(ii\)](#)
- Sch. 3(b)(x) words omitted by [S.I. 2013/2329 Sch. para. 34\(c\)\(i\)](#)
- Sch. 3 para. (b)(v) words omitted by [S.I. 2014/549 Sch. 1 para. 30\(4\)\(a\)](#)
- Sch. 3 para. (b)(vi) words substituted by [S.I. 2014/549 Sch. 1 para. 30\(4\)\(b\)](#)
- reg. 2(f) words inserted by [S.I. 2016/225 reg. 4\(2\)](#)
- reg. 3(1)(d) inserted by [S.I. 2013/472 Sch. 2 para. 47\(3\)\(b\)\(ii\)](#)
- reg. 8(a) word omitted by [S.I. 2013/504 reg. 35\(3\)\(a\)](#)
- reg. 8(a) words substituted by [S.I. 2012/916 reg. 3\(6\)](#)
- reg. 8(a) words substituted by [S.I. 2019/681 reg. 4\(7\)\(a\)](#)
- reg. 8(b) word omitted by [S.I. 2014/3348 Sch. 3 para. 8\(3\)\(a\)](#)
- reg. 8(b) word omitted by [S.I. 2019/681 reg. 4\(7\)\(b\)\(i\)](#)
- reg. 8(b) words substituted by [S.I. 2019/681 reg. 4\(7\)\(b\)\(ii\)](#)
- reg. 8(b)(i) words substituted by [S.I. 2017/701 Sch. 3 para. 4\(3\)\(a\)\(i\)](#)
- reg. 8(b)(ii) words substituted by [S.I. 2017/701 Sch. 3 para. 4\(3\)\(a\)\(ii\)](#)
- reg. 8(c) and word inserted by [S.I. 2013/504 reg. 35\(3\)\(b\)](#)
- reg. 8(c) omitted by [S.I. 2019/681 reg. 4\(7\)\(c\)](#)
- reg. 8(c) word omitted by [S.I. 2016/680 reg. 18\(3\)\(a\)](#)
- reg. 8(d) and word inserted by [S.I. 2014/3348 Sch. 3 para. 8\(3\)\(b\)](#)
- reg. 8(d) word inserted by [S.I. 2017/701 Sch. 3 para. 4\(3\)\(b\)](#)
- reg. 8(d) word omitted by [S.I. 2016/715 Sch. 2 para. 2\(3\)\(a\)](#)
- reg. 8(d) word omitted by [S.I. 2019/681 reg. 4\(7\)\(d\)\(i\)](#)
- reg. 8(d) word omitted by [S.I. 2019/681 reg. 4\(7\)\(d\)\(ii\)](#)
- reg. 8(e) and word inserted by [S.I. 2016/680 reg. 18\(3\)\(b\)](#)
- reg. 8(e) omitted by [S.I. 2017/701 Sch. 3 para. 4\(3\)\(c\)](#)
- reg. 8(e) word inserted by [S.I. 2016/715 Sch. 2 para. 2\(3\)\(b\)](#)
- reg. 8(f) inserted by [S.I. 2016/715 Sch. 2 para. 2\(3\)\(c\)](#)
- reg. 8(f) omitted by [S.I. 2019/681 reg. 4\(7\)\(e\)](#)
- art. 9(1) word inserted by [S.I. 2013/504 reg. 35\(4\)\(a\)](#)
- reg. 9(1A) inserted by [S.I. 2013/3115 Sch. 2 para. 55\(3\)\(a\)](#)
- reg. 9(1A) words omitted by [S.I. 2019/681 reg. 4\(8\)\(b\)](#)

- reg. 9(2)(d)(f) omitted by [S.I. 2015/575 Sch. 2 para. 12\(3\)\(b\)](#)
- reg. 9(2)(f) and word inserted by [S.I. 2007/3255 reg. 3\(3\)\(b\)](#)
- reg. 9(2A) omitted by [S.I. 2019/681 reg. 13\(4\)\(a\)](#)
- reg. 9(2A) word omitted by [S.I. 2004/3379 reg. 19\(3\)\(b\)](#)
- reg. 9(2B) inserted by [S.I. 2013/1773 Sch. 2 para. 12\(3\)\(c\)](#)
- art. 9(2B)(a) substituted by [2018 c. 12 Sch. 19 para. 278\(2\)](#)
- reg. 9(2B)(a) word inserted by [S.I. 2019/681 reg. 4\(8\)\(d\)\(i\)](#)
- reg. 9(2B)(a) words substituted by [S.I. 2019/419 Sch. 3 para. 37\(2\)](#)
- reg. 9(2B)(b) words substituted by [S.I. 2019/681 reg. 4\(8\)\(d\)\(ii\)](#)
- reg. 9(2B)(b)(iii) words substituted in earlier amending provision [S.I. 2019/681](#), reg. 4(8)(d)(ii) by [S.I. 2020/1301 reg. 3Sch. para. 41\(b\)](#)
- reg. 9(2B)(c) omitted by [S.I. 2019/681 reg. 4\(8\)\(d\)\(iii\)](#)
- reg. 9(2C) inserted by [S.I. 2014/3348 Sch. 3 para. 8\(4\)\(c\)](#)
- reg. 9(2C) substituted by [S.I. 2019/681 reg. 4\(8\)\(e\)](#)
- reg. 9(2D) inserted by [S.I. 2016/680 reg. 18\(4\)\(c\)](#)
- reg. 9(2D) omitted by [S.I. 2017/701 Sch. 3 para. 4\(4\)\(d\)](#)
- reg. 9(2ZA) inserted by [S.I. 2013/1773 Sch. 2 para. 12\(3\)\(b\)](#)
- reg. 9(2ZA) words inserted by [S.I. 2019/681 reg. 4\(8\)\(c\)\(ii\)](#)
- reg. 9(2ZA) words substituted by [S.I. 2017/701 Sch. 3 para. 4\(4\)\(c\)](#)
- reg. 9(2ZA)(b) substituted by [S.I. 2013/3115 Sch. 2 para. 55\(3\)\(b\)](#)
- reg. 9(2ZA)(e) word omitted by [S.I. 2019/681 reg. 4\(8\)\(c\)\(i\)](#)
- reg. 9(3)(b)(v) and word inserted by [S.I. 2007/3255 reg. 3\(4\)\(b\)](#)
- reg. 9(3)(b)(vi) substituted for reg. 9(3)(b)(iii)(iv)(v) by [S.I. 2019/681 reg. 13\(4\)\(b\)](#)
- reg. 9(3A)(a) substituted by [S.I. 2019/681 reg. 4\(8\)\(g\)](#)
- reg. 9(3A)(a) words substituted by [S.I. 2017/701 Sch. 3 para. 4\(4\)\(e\)](#)
- reg. 9(3A)(a) words substituted by [S.I. 2019/681 reg. 13\(4\)\(c\)](#)
- reg. 9(3B)(b) omitted by [S.I. 2019/681 reg. 4\(8\)\(h\)\(i\)](#)
- reg. 9(3B)(c) word omitted by [S.I. 2012/916 reg. 3\(7\)\(a\)](#)
- reg. 9(3B)(d) words omitted by [S.I. 2019/681 reg. 4\(8\)\(h\)\(ii\)](#)
- reg. 9(3B)(e)(f) inserted by [S.I. 2012/916 reg. 3\(7\)\(b\)](#)
- reg. 9(3B)(e) omitted by [S.I. 2019/681 reg. 4\(8\)\(h\)\(iii\)](#)
- reg. 9(3B)(f) omitted by [S.I. 2019/681 reg. 4\(8\)\(h\)\(iii\)](#)
- reg. 9(3C)(3D) inserted by [S.I. 2011/1613 reg. 5\(3\)\(c\)](#)
- reg. 9(3C) word omitted by [S.I. 2019/681 reg. 4\(8\)\(i\)\(i\)](#)
- reg. 9(3C)(a) words substituted by [S.I. 2019/681 reg. 4\(8\)\(i\)reg. 4\(8\)\(ii\)\(aa\)](#)
- reg. 9(3C)(a) words substituted by [S.I. 2019/681 reg. 4\(8\)\(i\)reg. 4\(8\)\(ii\)\(bb\)](#)
- reg. 9(3D)(b) words substituted by [S.I. 2019/681 reg. 4\(8\)\(j\)\(i\)](#)
- reg. 9(3D)(e) omitted by [S.I. 2019/681 reg. 4\(8\)\(j\)\(ii\)](#)
- art. 9(3E) inserted by [S.I. 2013/504 reg. 35\(4\)\(b\)](#)
- reg. 9(3E) omitted by [S.I. 2019/681 reg. 4\(8\)\(k\)](#)
- reg. 9(3F) inserted by [S.I. 2015/910 Sch. 1 para. 8\(3\)\(b\)](#)
- reg. 9(3F) omitted by [S.I. 2019/681 reg. 4\(8\)\(k\)](#)
- reg. 9(3G) inserted by [S.I. 2016/680 reg. 18\(4\)\(d\)](#)
- reg. 9(3G) omitted by [S.I. 2017/701 Sch. 3 para. 4\(4\)\(f\)](#)
- reg. 9(3EA) inserted by [S.I. 2016/715 Sch. 2 para. 2\(4\)\(b\)](#)
- reg. 9(3EA) omitted by [S.I. 2019/681 reg. 4\(8\)\(k\)](#)
- reg. 9(4) inserted by [S.I. 2010/2628 Sch. 2 para. 2\(3\)\(b\)](#)
- reg. 9(4) substituted by [S.I. 2013/3115 Sch. 2 para. 55\(3\)\(d\)](#)
- reg. 9(4) substituted by [S.I. 2019/681 reg. 4\(8\)\(l\)](#)
- reg. 9(4) words substituted by [S.I. 2013/472 Sch. 2 para. 47\(6\)\(c\)](#)
- reg. 9(4A) inserted by [S.I. 2020/1406 reg. 6\(3\)](#)
- reg. 9(5) inserted by [S.I. 2014/3348 Sch. 3 para. 8\(4\)\(d\)](#)
- reg. 9(5) word omitted by [S.I. 2019/681 reg. 4\(8\)\(m\)](#)
- art. 9(6) inserted by [2018 c. 12 Sch. 19 para. 278\(3\)](#)
- reg. 9(6) substituted by [S.I. 2019/419 Sch. 3 para. 37\(3\)](#)
- reg. 10A10B inserted by [S.I. 2014/3348 Sch. 3 para. 8\(5\)](#)
- reg. 10A heading word omitted by [S.I. 2019/681 reg. 4\(9\)](#)
- reg. 10A(1) word omitted by [S.I. 2019/681 reg. 4\(10\)\(a\)](#)

- reg. 10A(3) word omitted by [S.I. 2019/681](#) reg. 4(10)(b)
- reg. 10B(1) word omitted by [S.I. 2019/681](#) reg. 4(11)(a)
- reg. 10B(2) words substituted by [S.I. 2019/681](#) reg. 4(11)(b)
- reg. 10C inserted by [S.I. 2020/1406](#) reg. 6(4)
- reg. 11(d) word omitted by [S.I. 2019/681](#) reg. 4(13)(b)(i)
- reg. 11(d) words substituted by [S.I. 2019/681](#) reg. 4(13)(b)(ii)
- reg. 11(d)(i) words substituted by [S.I. 2017/701](#) Sch. 3 para. 4(5)(a)(i)
- reg. 11(d)(ii) word inserted by [S.I. 2011/1613](#) reg. 5(4)(a)
- reg. 11(d)(ii) words substituted by [S.I. 2017/701](#) Sch. 3 para. 4(5)(a)(ii)
- reg. 11(e) word omitted by [S.I. 2019/681](#) reg. 4(13)(c)(i)
- reg. 11(e) words substituted by [S.I. 2019/681](#) reg. 4(13)(c)(ii)
- art. 11(f) inserted by [S.I. 2013/504](#) reg. 35(5)
- reg. 11(f) omitted by [S.I. 2019/681](#) reg. 4(13)(d)
- reg. 11(g) inserted by [S.I. 2014/3348](#) Sch. 3 para. 8(6)
- reg. 11(g) word omitted by [S.I. 2019/681](#) reg. 4(13)(e)
- reg. 11(h) inserted by [S.I. 2016/680](#) reg. 18(5)
- reg. 11(h) omitted by [S.I. 2017/701](#) Sch. 3 para. 4(5)(b)
- reg. 11(fa) inserted by [S.I. 2016/715](#) Sch. 2 para. 2(5)
- reg. 11(fa) omitted by [S.I. 2019/681](#) reg. 4(13)(d)
- reg. 12(4) inserted by [S.I. 2012/2554](#) reg. 3(3)
- reg. 12(5) inserted by [S.I. 2017/701](#) Sch. 3 para. 4(6)
- reg. 12(6) inserted by [S.I. 2018/135](#) reg. 56(3)
- reg. 12A added by [S.I. 2001/3624](#) reg. 2(1)(4)
- reg. 12A omitted by [S.I. 2013/1635](#) reg. 12(4)
- reg. 12A word substituted by [S.I. 2013/2329](#) Sch. para. 34(a)
- reg. 12A heading words inserted by [S.I. 2019/681](#) reg. 13(5)
- reg. 12A words substituted by [S.I. 2012/725](#) art. 2(6)
- reg. 12B added by [S.I. 2003/1092](#) reg. 3(c)
- reg. 12B and words inserted by [S.I. 2002/1775](#) reg. 16
- reg. 12B omitted by [S.I. 2019/1361](#) reg. 7 (This S.I. is amended by [S.I. 2019/1390](#), reg. 6)
- reg. 12B words substituted by [S.I. 2013/472](#) Sch. 2 para. 47(7)
- reg. 12C added by [S.I. 2003/2174](#) reg. 4(c)
- reg. 12C heading words inserted by [S.I. 2019/681](#) reg. 13(6)
- reg. 17 added (1.11.2007) by [S.I. 2006/3413](#) reg. 7
- reg. 17 words substituted by [S.I. 2019/681](#) reg. 4(16)