

SCHEDULE

PART 3

Provisions of the Act coming into force on 24th January 2013 for limited purposes

<i>Provision of the Act</i>	<i>Purpose</i>
Section 4 (financial stability strategy and Financial Policy Committee)	For the purpose of inserting section 9ZA of the 1998 Act
Section 6 (the new Regulators)	For the purpose of inserting sections 1A(2), (6), 1F to 1I, 2A(1), (2), (6), 2F to 2J, 3A, 3B, 3C and 3D of the 2000 Act
Section 6	For the purpose of inserting sections 1B to 1E and 2B to 2C of the 2000 Act, in so far as they are relevant to other provisions of the Act which are in force
Section 6	For the purpose of inserting sections 3E and 3F of the 2000 Act, in so far as they relate to the preparation of memoranda
Section 6	For the purpose of inserting section 3R of the 2000 Act
Section 6	For the purpose of introducing Schedule 3 to the Act in so far as it inserts the provisions of Schedule 1ZA to the 2000 Act which relate to the preparation of a scheme under paragraph 21 of that Schedule or the making of rules
Section 6	For the purpose of inserting Schedule 1ZB to the 2000 Act (except paragraphs 2, 3 and 8)
Section 11 (permission to carry on regulated activities)	For the purpose of inserting section 55U of the 2000 Act, in so far as it relates to the giving of directions or the imposition of requirements
Section 12 (passporting: exercise of EEA rights and Treaty rights)	For the purpose of introducing paragraph 17 of Schedule 4 to the Act, in so far as it relates to the making of arrangements
Section 12	For the purpose of introducing paragraph 26(4) of Schedule 4 to the Act, in so far as it relates to the giving of directions or the imposition of requirements
Section 14 (approval for particular arrangements)	For the purpose of making arrangements under section 59B of the 2000 Act, the issue of statements of principle under section 64 of the 2000 Act and the making of rules
Section 15 (further amendments relating to performance of regulated activities)	For the purpose of introducing paragraph 4 of Schedule 5 to the Act, in so far as it relates to the giving of directions or the imposition of requirements

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<i>Provision of the Act</i>	<i>Purpose</i>
Section 15	For the purposes of introducing paragraphs 10 to 13, 17 and 18 of Schedule 5 to the Act, in so far as they relate to the preparation and issue of a statement of policy, a statement of principle or a code of practice
Section 16 (FCA to exercise functions under Part 6 of FSMA 2000)	For the purpose of the making of rules
Section 18 (listing rules: disciplinary powers in relation to sponsors)	For the purpose of the preparation and issue of a statement of policy under section 88C of the 2000 Act
Section 19 (primary information providers)	For the purpose of the preparation and issue of a statement of policy under section 89S of the 2000 Act and for the purpose of the making of rules
Section 24 (rules and guidance)	For the purpose of the giving of directions under section 138A of the 2000 Act, the issue of a statement of policy under section 138N of the 2000 Act, the giving of guidance under section 139A of the 2000 Act, the determination of a procedure and the issue of a statement of procedure under section 395 of the 2000 Act in relation to the procedure to be followed in relation to the giving of supervisory notices in accordance with section 137S(5) or (8)(a) of the 2000 Act and the making of rules
Section 27 (powers of regulators in relation to parent undertakings)	For the purpose of the preparation and issue of statements of policy under section 192H and 192N of the 2000 Act and the making of rules
Section 29 (powers in relation to recognised investment exchanges and clearing houses)	For the purpose of introducing Schedule 7 to the Act, in so far as it relates to the preparation of a memorandum, the making of rules or the preparation and issue of a statement of policy
Section 33 (power to take disciplinary measures against recognised bodies)	For the purpose of the preparation and issue of a statement under section 312J of the 2000 Act
Section 35 (sections 28 to 34 of the Act: minor and consequential amendments)	For the purpose of the making of rules
Section 37 (discipline and enforcement)	For the purpose of introducing paragraphs 17 and 18 of Schedule 9 to the Act, in so far as they relate to the preparation and issue of a statement of policy
Section 37	For the purpose of introducing paragraphs 34 and 35 of Schedule 9 to the Act, in so far as they relate to the determination of a procedure and the issue of a statement of the procedure

<i>Provision of the Act</i>	<i>Purpose</i>
Section 38 (the Financial Services Compensation Scheme)	For the purpose of the preparation of memoranda under section 217A of the 2000 Act and the making of rules
Section 39 (the financial ombudsman service)	For the purpose of the preparation of a memorandum under paragraph 3A of Schedule 17 to the 2000 Act and the making of rules
Section 40 (Lloyd's)	For the purpose of inserting section 314A of the 2000 Act
Section 41 (information, investigations, disclosure etc.)	For the purpose of introducing paragraphs 5 and 6 of Schedule 12 to the Act for the purpose of the making of rules
Section 41	For the purpose of introducing paragraph 9 of Schedule 12 to the Act, in so far as it relates to the preparation of a statement of policy
Section 42 (auditors and actuaries)	For the purpose of introducing paragraph 2 of Schedule 13 to the Act, in so far as it relates to the issue of a code of practice under section 339A of the 2000 Act
Section 42	For the purpose of introducing paragraph 7 of Schedule 13 to the Act, in so far as it relates to the preparation and issue of a statement of policy under section 345D of the 2000 Act
Section 43 (provisions about consumer protection and competition)	For the purpose of the power to give guidance of the kind specified by section 234G of the 2000 Act
Section 45 (the consumer financial education body)	For the purpose of the making of rules
Section 45	For the purpose of introducing paragraph 7 of Schedule 15 to the Act, in so far as it relates to the preparation of a memorandum under paragraph 6A of Schedule 1A to the 2000 Act
Section 65 (memorandum of understanding: crisis management)	For the purpose of the preparation of a memorandum
Section 66 (memorandum of understanding: international organisations)	For the purpose of the preparation of a memorandum
Section 80 (statements of policy)	For the purpose of the power to prepare and issue a statement of policy
Sections 84 to 87 (investigation of complaints against regulators)	For the purpose of making the complaints scheme
Section 114 (further minor and consequential amendments and repeals)	For the purpose of introducing paragraph 10 of Schedule 18 to the Act, in so far as it relates to the preparation and issue of a statement of policy

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<i>Provision of the Act</i>	<i>Purpose</i>
	under section 345D of the 2000 Act, as applied by section 249(2) of the 2000 Act