

STATUTORY INSTRUMENTS

2019 No. 1043

The Financial Services and Markets Act 2000 (Prospectus) Regulations 2019

PART 2

Amendments of the Financial Services and Markets Act 2000

Prohibition of dealing etc in transferable securities without approved prospectus

6.—(1) Section 85 (prohibition of dealing etc in transferable securities without approved prospectus) ^{F1} is amended as follows.

(2) In subsection (5), for paragraphs (a) and (b) substitute—

“(a) those listed in Article 1(2) of the prospectus regulation;

(b) any offered in an offer falling within Article 1(3) of the prospectus regulation.”.

(3) In subsection (6), for “other than” to the end, substitute “ other than those listed in Article 1(2) of the prospectus regulation. ”

(4) After subsection (6) insert—

“(6A) Schedule 11A makes provision that applies for the purposes of Article 1(2)(e) of the prospectus regulation.”

^{F2}(5)

F1 [Section 85](#) was substituted by [S.I. 2005/1433](#).

F2 Reg. 6(5) omitted (31.12.2020) by virtue of [The Prospectus \(Amendment etc.\) \(EU Exit\) Regulations 2019](#) (S.I. 2019/1234), regs. 1(4), **30** (as substituted by S.I. 2020/628, regs. 1(3), **17(2)**; 2020 c. 1, [Sch. 5 para. 1\(1\)](#))

Commencement Information

11 Reg. 6 in force at 21.7.2019, see [reg. 1\(1\)](#)

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 (Prospectus) Regulations 2019. 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 :

- Regulations power to modify conferred by [2023 c. 29 s. 3Sch. 1 Pt. 2](#)
- Regulations revoked by [2023 c. 29 Sch. 1 Pt. 2](#)
- reg. 6(5) omitted by [S.I. 2019/1234 reg. 30](#) (This amendment not applied to legislation.gov.uk. Reg. 30 substituted immediately before IP completion day by S.I. 2020/628, regs. 1(3), 17(2))