
STATUTORY INSTRUMENTS

2019 No. 542

The Transparency of Securities Financing Transactions
and of Reuse (Amendment) (EU Exit) Regulations 2019

PART 4

SPECIFIC PROVISION FOR TRADE REPOSITORIES

CHAPTER 2

ENFORCEMENT PROVISIONS RELATING TO TRADE REPOSITORIES

Warning notice

26.—(1) If the FCA proposes to—

- (a) publish a statement in respect of a trade repository under regulation 28; or
- (b) impose a penalty on a trade repository under regulation 29,

it must give the trade repository a warning notice.

(2) A warning notice about a proposal to publish a statement must set out the terms of the statement.

(3) A warning notice about a proposal to impose a penalty must state the amount of the penalty.