
STATUTORY INSTRUMENTS

2019 No. 926

The Proxy Advisors (Shareholders' Rights) Regulations 2019

PART 3

Functions of the FCA in relation to proxy advisors

Warning notice

13.—(1) Where the FCA proposes to—

- (a) publish a statement in respect of a proxy advisor under regulation 11, or
- (b) impose a penalty on a proxy advisor under regulation 12,

it must give the proxy advisor 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.

Commencement Information

11 Reg. 13 in force at 10.6.2019, see [reg. 1](#)

Changes to legislation:

There are outstanding changes not yet made by the legislation.gov.uk editorial team to The Proxy Advisors (Shareholders' Rights) 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](#)