

SCHEDULES

SCHEDULE 9

DISCIPLINE AND ENFORCEMENT

PART 6

NOTICE PROCEDURES

- 29 (1) Section 390 (final notices) is amended as follows.
- (2) In subsection (1)—
- (a) for “the Authority”, in the first place, substitute “a regulator”, and
 - (b) for “the Authority”, in the second place, substitute “the regulator”.
- (3) In subsection (2)—
- (a) for “the Authority”, in the first place, substitute “a regulator”,
 - (b) for “the Authority”, in the second place, substitute “the regulator”, and
 - (c) for “a final notice” substitute “the notice required by subsection (2A)”.
- (4) After that subsection insert—
- “(2A) The notice required by this subsection is—
- (a) in a case where the regulator is acting in accordance with a direction given by the Tribunal under section 133(6)(b), or by the court on an appeal from a decision by the Tribunal under section 133(6), a further decision notice, and
 - (b) in any other case, a final notice.”.
- (5) In subsections (9) and (10), for “the Authority” substitute “the regulator giving the notice”.