

SCHEDULE 3

Articles 37, 41, 67, 68 and 69

MARKETS AND EXCHANGES

[^{F1}PART A1

Criteria for Relevant UK Markets

Textual Amendments

F1 Sch. 3 Pt. A1 inserted (18.10.2021) by [The Markets in Financial Instruments, Benchmarks and Financial Promotions \(Amendment\) \(EU Exit\) Regulations 2021 \(S.I. 2021/1074\)](#), regs. 1(2), **2(8)**

The criteria for a “relevant UK market” are—

- (a) the head office of the market must be situated in the United Kingdom; and
- (b) the market must satisfy any requirements of the law of the United Kingdom as to—
 - (i) the manner in which it operates;
 - (ii) the means by which access may be had to the facilities it provides;
 - (iii) the conditions to be satisfied before an investment may be traded or dealt in by means of its facilities; and
 - (iii) the reporting and publication of transactions effected by means of its facilities.]

PART I

Criteria for Relevant EEA [^{F2}or Gibraltar] Markets

Textual Amendments

F2 Words in Sch. 3 Pt. 1 heading inserted (31.12.2020) by [The Gibraltar \(Miscellaneous Amendments\) \(EU Exit\) Regulations 2019 \(S.I. 2019/680\)](#), regs. 1(2), **5(a)**; 2020 c. 1, **Sch. 5 para. 1(1)**

The criteria are—

- (a) the head office of the market must be situated in an EEA State [^{F3}or in Gibraltar]; and
- (b) the market must be subject to requirements in the EEA State in which its head office is situated [^{F4}or (where its head office is situated in Gibraltar), in Gibraltar] as to—
 - (i) the manner in which it operates;
 - (ii) the means by which access may be had to the facilities it provides;
 - (iii) the conditions to be satisfied before an investment may be traded or dealt in by means of its facilities;
 - (iv) the reporting and publication of transactions effected by means of its facilities.

Changes to legislation: There are currently no known outstanding effects for the The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, SCHEDULE 3. (See end of Document for details)

Textual Amendments

- F3** Words in Sch. 3 Pt. 1 inserted (31.12.2020) by [The Gibraltar \(Miscellaneous Amendments\) \(EU Exit\) Regulations 2019 \(S.I. 2019/680\)](#), regs. 1(2), **5(b)**; 2020 c. 1, **Sch. 5 para. 1(1)**
- F4** Words in Sch. 3 Pt. 1 inserted (31.12.2020) by [The Gibraltar \(Miscellaneous Amendments\) \(EU Exit\) Regulations 2019 \(S.I. 2019/680\)](#), regs. 1(2), **5(c)**; 2020 c. 1, **Sch. 5 para. 1(1)**

Textual Amendments

- F3** Words in Sch. 3 Pt. 1 inserted (31.12.2020) by [The Gibraltar \(Miscellaneous Amendments\) \(EU Exit\) Regulations 2019 \(S.I. 2019/680\)](#), regs. 1(2), **5(b)**; 2020 c. 1, **Sch. 5 para. 1(1)**
- F4** Words in Sch. 3 Pt. 1 inserted (31.12.2020) by [The Gibraltar \(Miscellaneous Amendments\) \(EU Exit\) Regulations 2019 \(S.I. 2019/680\)](#), regs. 1(2), **5(c)**; 2020 c. 1, **Sch. 5 para. 1(1)**

^{F5}Part 2

Certain Investment Exchanges Operating Relevant EEA Markets

Textual Amendments

- F5** Sch. 3 Pt. 2 omitted (1.4.2017 for specified purposes, 3.1.2018 in so far as not already in force) by virtue of [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) Order 2017 \(S.I. 2017/488\)](#), art. 1(2), **Sch. para. 9(11)**

PART III

Certain Non-EEA Investment Exchanges Operating Relevant Markets

- America Stock Exchange.
- Australian Stock Exchange.
- Basler Effektenbourse.
- Boston Stock Exchange.
- Bourse de Geneve.
- Buenos Aires Stock Exchange.
- Canadian Venture Exchange.
- Chicago Board Options Exchange.
- Chicago Stock Exchange.
- Effektenborsenverein Zurich.
- Fukuoka Stock Exchange.
- Hiroshima Stock Exchange.
- Iceland Stock Exchange.

Johannesburg Stock Exchange.
Korean Stock Exchange.
Kuala Lumpur Stock Exchange
Kyoto Stock Exchange.
Midwest Stock Exchange.
Montreal Stock Exchange.
Nagoya Stock Exchange.
NASDAQ.
National Stock Exchange.
New York Stock Exchange.
New Zealand Stock Exchange Limited.
Niigata Stock Exchange.
Osaka Stock Exchange.
Oslo Stock Exchange
Pacific Stock Exchange.
Philadelphia Stock Exchange.
Sapporo Stock Exchange.
Singapore Stock Exchange.
Stock Exchange of Hong Kong Limited.
Stock Exchange of Thailand.
Tokyo Stock Exchange.
Toronto Stock Exchange.

PART IV

Other Relevant Markets

American Commodity Exchange.
Australian Financial Futures Market.
Chicago Board of Trade.
Chicago Mercantile Exchange.
Chicago Rice and Cotton Exchange.
Commodity Exchange Inc.
Eurex US.
Eurex Zurich.
International Securities Market Association.
International Petroleum Exchange.
Kansas City Board of Trade.
London Metal Exchange.
Minneapolis Grain Exchange.

Changes to legislation: *There are currently no known outstanding effects for the The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, SCHEDULE 3. (See end of Document for details)*

New York Board of Trade.
New York Futures Exchange.
New York Mercantile Exchange.
New Zealand Futures Exchange.
Pacific Commodity Exchange.
Philadelphia Board of Trade.
Singapore International Monetary Exchange.
Sydney Futures Exchange.
Toronto Futures Exchange.

Changes to legislation:

There are currently no known outstanding effects for the The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005, SCHEDULE 3.