

**Status:** Point in time view as at 31/12/2020.

**Changes to legislation:** Regulation (EU) No 600/2014 of the European Parliament and of the Council, 4 is up to date with all changes known to be in force on or before 03 July 2024. There are changes that may be brought into force at a future date. Changes that have been made appear in the content and are referenced with annotations. (See end of Document for details)

## [<sup>F1</sup>SCHEDULE 3

### Transfer of Functions to the Treasury and Regulators

#### Textual Amendments

- F1** Sch. 3 inserted (31.12.2020) by The Markets in Financial Instruments (Amendment) (EU Exit) Regulations 2018 (S.I. 2018/1403), regs. 1(3), **37** (as amended by: S.I. 2019/576, regs. 1(2), **3**; S.I. 2019/710, regs. 1(2), **16(17)**; S.I. 2019/1212, regs. 1(3), **14(7)** (as itself amended by S.I. 2020/1301, regs. 1, 3, **Sch. para. 45(a)(v)**); S.I. 2020/1301, regs. 1, 3, **Sch. para. 12(m)**; and S.I. 2020/1385, regs. 1(4), **49(6)**) (with savings in S.I. 2019/680, **reg. 11**); 2020 c. 1, **Sch. 5 para. 1(1)**)

## PART 1

### Directive functions transferred to the Treasury

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To specify the concrete organisational requirements equivalent to those set out in paragraphs 2 to 10 of Article 16 of Directive 2014/65/EU laid down in rules made by the competent authority under FSMA to be imposed on investment firms and on branches of third-country firms which have permission under Part 4A of FSMA to carry on regulated activities consisting of different investment services or activities and ancillary services or combinations thereof .]

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