

Status: Point in time view as at 15/06/2023.

Changes to legislation: There are currently no known outstanding effects for the Criminal Justice Act 1993, SCHEDULE 2. (See end of Document for details)

SCHEDULES

SCHEDULE 2

PART 1

SECURITIES

[^{F1}1. Transferable securities.

Textual Amendments

F1 Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

2. Money-market instruments.

Textual Amendments

F1 Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

3. Units in collective investment undertakings.

Textual Amendments

F1 Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

4. Options, futures, swaps, forward rate agreements and any other derivative contracts relating to securities, currencies, interest rates or yields, emission allowances or other derivatives instruments, financial indices or financial measures which may be settled physically or in cash.

Textual Amendments

F1 Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

5. Options, futures, swaps, forwards and any other derivative contracts relating to commodities that must be settled in cash or may be settled in cash at the option of one of the parties (other than by reason of a default or other termination event).

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Textual Amendments

- F1** Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

6. Options, futures, swaps, and any other derivative contract relating to commodities that can be physically settled provided they are traded on a UK regulated market, a UK MTF or a UK OTF, except for wholesale energy products traded on a UK OTF that must be physically settled.

Textual Amendments

- F1** Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

7. Options, futures, swaps, forwards and any other derivative contracts relating to commodities, that can be physically settled not otherwise mentioned in paragraph 6 and not being for commercial purposes or wholesale energy products traded on an EU OTF that must be physically settled, which have the characteristics of other derivative financial instruments.

Textual Amendments

- F1** Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

8. Derivative instruments for the transfer of credit risk.

Textual Amendments

- F1** Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

9. Financial contracts for differences.

Textual Amendments

- F1** Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

10. Options, futures, swaps, forward rate agreements and any other derivative contracts relating to climatic variables, freight rates or inflation rates or other official economic statistics that must be settled in cash or may be settled in cash at the option of one of the parties other than by reason of default or other termination event, as well as any other derivative contracts relating to assets, rights, obligations, indices and measures not otherwise mentioned in this Schedule, which have the characteristics of other derivative financial instruments, having regard to whether, inter alia, they are traded on a UK regulated market, a UK OTF, or a UK MTF.

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Textual Amendments

- F1** Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

11. Emission allowances consisting of any units recognised for compliance with the requirements of [Directive 2003/87/EC](#) (Emissions Trading Scheme) or allowances created under article 18 of the Greenhouse Gas Emissions Trading Scheme Order 2020.

Textual Amendments

- F1** Sch. 2 paras. 1-14 substituted for Sch. 2 paras. 1-7 and headings (15.6.2023) by [The Insider Dealing \(Securities and Regulated Markets\) Order 2023 \(S.I. 2023/582\)](#), arts. 1(1), 6

PART 2

INTERPRETATION

12. Part 2 of Schedule 2 to the RAO (“the RAO Schedule”) (financial instruments and investment services and activities) applies for the purposes of Part 1 of this Schedule as it applies for the purposes of Part 1 of the RAO Schedule but as if references in Part 2 of the RAO Schedule to paragraphs in Part 1 of the RAO Schedule were references to the equivalent paragraphs in Part 1 of this Schedule.
13. Terms used in this Schedule and in the RAO have the same meaning in this Schedule as in the RAO.
14. References in paragraphs 12 and 13 to the RAO are to the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 ([S.I. 2001/544](#)) as it had effect on 17th April 2023.]

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