

## SCHEDULES

### SCHEDULE 9

#### DISCIPLINE AND ENFORCEMENT

#### PART 4

##### DISCIPLINARY MEASURES

- 17 (1) Section 210 (statements of policy) is amended as follows.
- (2) In subsection (1), for “The Authority” substitute “Each regulator”.
- (3) After subsection (1) insert—
- “(1A) Each regulator's policy with respect to the imposition of penalties, suspensions or restrictions under this Part must include policy with respect to their imposition in relation to conduct which constitutes or may constitute an offence by virtue of section 23(1A) (authorised persons carrying on credit-related regulated activities otherwise than in accordance with permission).”
- (4) In subsection (2), for “The Authority's” substitute “A regulator's”.
- (5) In subsection (3)—
- (a) for “The Authority” substitute “A regulator”, and
- (b) after “issued” insert “by it”.
- (6) In subsection (4), for “replaced, the Authority” substitute “replaced by a regulator, the regulator”.
- (7) In subsection (5), for “The Authority” substitute “A regulator”.
- (8) In subsection (6)—
- (a) after “section” insert “by a regulator”, and
- (b) for “Authority”, in both places, substitute “regulator”.
- (9) In subsection (7)—
- (a) for “the Authority” substitute “a regulator”, and
- (b) after “published” insert “by it”.
- (10) In subsection (8), for “Authority” substitute “regulator”.