
STATUTORY INSTRUMENTS

2001 No. 3650

The Financial Services and Markets Act
2000 (Miscellaneous Provisions) Order 2001

PART II

AMENDMENTS TO ORDERS MADE UNDER THE ACT

The Financial Services and Markets Act 2000 (Transitional Provisions) (Controllers) Order 2001 (S.I.2001/2637)

Definition of “the Regulator”

11. In article 2(1) of the Financial Services and Markets Act 2000 (Transitional Provisions) (Controllers) Order 2001 (definitions) after paragraph (c) of the definition of “the Regulator” insert—

“(d) in relation to each of the provisions mentioned in sub-paragraph (e), (f) or (g) of article 5(6), the body mentioned in that sub-paragraph.”

Controller approved by self-regulating organisation before commencement

12. In article 5 of the Financial Services and Markets Act 2000 (Transitional Provisions) (Controllers) Order 2001 (approval given before commencement) after sub-paragraph (d) of paragraph (6) insert—

- “(e) rule 6.1(4) of the rules of the Personal Investment Authority Limited;
- (f) rule 2-23A(1) of the rules of the Securities and Futures Authority Limited;
- (g) rule 2.1 of Chapter IV of the rules of the Investment Management Regulatory Organisation Limited.”