

STATUTORY INSTRUMENTS

2001 No. 544

The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001

PART II

SPECIFIED ACTIVITIES

CHAPTER VI

ARRANGING DEALS IN INVESTMENTS

Exclusions

[^{F1}Arranging contracts [^{F2}or plans] to which the arranger is a party

28A.—(1) There are excluded from [^{F3}articles 25A(1), 25B(1) and 25C(1)] any arrangements—

- (a) for a [^{F4}contract or plan] into which the person making the arrangements enters or is to enter; or
- (b) for a variation of a [^{F4}contract or plan] to which that person is (or is to become) a party.

(2) There are excluded from [^{F5}articles 25A(2), 25B(2) and 25C(2)] any arrangements which a person makes with a view to contracts [^{F6}or plans] into which he enters or is to enter.]

Textual Amendments

- F1** Art. 28A inserted (31.10.2004) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) \(No. 1\) Order 2003 \(S.I. 2003/1475\)](#), arts. 1(3), 7
- F2** Words in art. 28A heading inserted (6.11.2006 for specified purposes, 6.4.2007 in so far as not already in force) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) \(No.2\) Order 2006 \(S.I. 2006/2383\)](#), arts. 1(2), 7(1)
- F3** Words in art. 28A(1) substituted (6.11.2006 for specified purposes) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) \(No.2\) Order 2006 \(S.I. 2006/2383\)](#), arts. 1(2), 7(2)(a)(i)
- F4** Words in art. 28A(1) substituted (6.11.2006 for specified purposes) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) \(No.2\) Order 2006 \(S.I. 2006/2383\)](#), arts. 1(2), 7(2)(a)(ii)
- F5** Words in art. 28A(2) substituted (6.11.2006 for specified purposes) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) \(No.2\) Order 2006 \(S.I. 2006/2383\)](#), arts. 1(2), 7(2)(b)(i)
- F6** Words in art. 28A(2) inserted (6.11.2006 for specified purposes) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) \(No.2\) Order 2006 \(S.I. 2006/2383\)](#), arts. 1(2), 7(2)(b)(ii)

Status:

Point in time view as at 06/11/2006. This version of this provision has been superseded.

Changes to legislation:

The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001, Section 28A is up to date with all changes known to be in force on or before 25 June 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.