

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}[^{F3}or plans]]^{F2}, plans or agreements] to which the arranger is a party

28A.—(1) There are excluded from [^{F4}articles 25A(1), 25B(1) [^{F5}and 25C(1)]^{F5}, 25C(1) and 25E(1)] any arrangements—

- (a) for a [^{F6}contract [^{F7}or plan]]^{F7}, plan or agreement]] into which the person making the arrangements enters or is to enter; or
- (b) for a variation of a [^{F6}contract [^{F7}or plan]]^{F7}, plan or agreement]] to which that person is (or is to become) a party.

(2) There are excluded from [^{F8}articles 25A(2), 25B(2) [^{F9}and 25C(2)]^{F9}, 25C(2) and 25E(2)] any arrangements which a person makes with a view to contracts [^{F10}or plans]]^{F10}, plans or agreements] 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 title substituted (1.7.2009 for specified purposes) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) Order 2009 \(S.I. 2009/1342\)](#), arts. 1(2), **7(1)**
- F3** 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)**
- F4** Words in art. 28A(1) substituted (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(2)(a)(i)**
- F5** Words in art. 28A(1) substituted (1.7.2009 for specified purposes) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) Order 2009 \(S.I. 2009/1342\)](#), arts. 1(2), **7(2)(a)(i)**

Status: Point in time view as at 01/07/2009. This version of this provision has been superseded.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 09 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)

- F6** Words in art. 28A(1) substituted (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(2)(a)(ii)**
- F7** Words in art. 28A(1) substituted (1.7.2009 for specified purposes) by The Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2009 (S.I. 2009/1342), arts. 1(2), **7(2)(a)(ii)**
- F8** Words in art. 28A(2) substituted (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(2)(b)(i)**
- F9** Words in art. 28A(2) substituted (1.7.2009 for specified purposes) by The Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2009 (S.I. 2009/1342), arts. 1(2), **7(2)(b)(i)**
- F10** Words in art. 28A(2) substituted (1.7.2009 for specified purposes) by The Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2009 (S.I. 2009/1342), arts. 1(2), **7(2)(b)(ii)**

Status:

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Changes to legislation:

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