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## STATUTORY INSTRUMENTS

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# 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*

#### **Introducing**

33. There are excluded from [<sup>F1</sup>articles 25(2), 25A(2), 25B(2) and 25C(2)] arrangements where—
- (a) they are arrangements under which persons (“clients”) will be introduced to another person;
  - (b) the person to whom introductions are to be made is—
    - (i) an authorised person;
    - (ii) an exempt person acting in the course of a business comprising a regulated activity in relation to which he is exempt; or
    - (iii) a person who is not unlawfully carrying on regulated activities in the United Kingdom and whose ordinary business involves him in engaging in an activity of the kind specified by any of articles 14, 21, 25, [<sup>F2</sup>25A,]<sup>F3</sup>25B, 25C,] 37<sup>F4</sup>, 39A] 40, 45, 51, [<sup>F5</sup>52, 53]<sup>F6</sup>, 53A, 53B and 53C] (or, so far as relevant to any of those articles, article 64), or would do so apart from any exclusion from any of those articles made by this Order;<sup>F7</sup>...
  - (c) the introduction is made with a view to the provision of independent advice or the independent exercise of discretion in relation to investments generally or in relation to any class of investments to which the arrangements relate<sup>F8</sup>; and
  - (d) the arrangements are made with a view to a person entering into a transaction which does not relate to a contract of insurance.]

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#### **Textual Amendments**

- F1** Words in art. 33 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), **10(a)**
- F2** Words in art. 33(b)(iii) 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), **10(b)(i)**

*Status: Point in time view as at 06/04/2007. This version of this provision has been superseded.*

*Changes to legislation: The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001, Section 33 is up to date with all changes known to be in force on or before 05 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)*

- F3** Words in art. 33(b)(iii) 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), **10(b)(i)**
- F4** Word in art. 33(b)(iii) inserted (31.10.2004 for specified purposes, 14.1.2005 in so far as not already in force) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) \(No. 2\) Order 2003 \(S.I. 2003/1476\)](#), arts. 1(3), **5(5)(a)**
- F5** Words in art. 33(b)(iii) substituted (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), **10(b)(ii)**
- F6** Words in art. 33(b)(iii) 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), **10(b)(ii)**
- F7** Word in art. 33(b)(iii) omitted (31.10.2004 for specified purposes, 14.1.2005 in so far as not already in force) by virtue of [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) \(No. 2\) Order 2003 \(S.I. 2003/1476\)](#), arts. 1(3), **5(5)(b)**
- F8** Art. 33(d) and preceding word inserted (31.10.2004 for specified purposes, 14.1.2005 in so far as not already in force) by [The Financial Services and Markets Act 2000 \(Regulated Activities\) \(Amendment\) \(No. 2\) Order 2003 \(S.I. 2003/1476\)](#), arts. 1(3), **5(5)(c)**

**Status:**

Point in time view as at 06/04/2007. This version of this provision has been superseded.

**Changes to legislation:**

The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001, Section 33 is up to date with all changes known to be in force on or before 05 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.