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STATUTORY INSTRUMENTS

2001 No. 544

FINANCIAL SERVICES AND MARKETS

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

Approved by both Houses of Parliament

Made - - - - 26th February 2001

Laid before Parliament 27th February 2001

Coming into force in accordance with article 2

THE FINANCIAL SERVICES AND MARKETS ACT
2000 (REGULATED ACTIVITIES) ORDER 2001

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2. Commencement
3. Interpretation

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4. Specified activities: general

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- 32. Provision of finance
- 33. Introducing
- 33A Introducing to authorised persons etc.
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- 54. Advice given in newspapers etc.
- 54A Advice given in the course of administration by authorised person
- 55. Other exclusions

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- 63B Entering into and administering regulated home reversion plans

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- 77A Alternative finance investment bonds
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- 80. Certificates representing certain securities
- 81. Units in a collective investment scheme
- 82. Rights under a pension scheme
- 83. Options
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- 85. Contracts for differences etc.
- 86. Lloyd's syndicate capacity and syndicate membership
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PART 1 — SECTION C OF ANNEX I TO THE MARKETS IN FINANCIAL INSTRUMENTS DIRECTIVE

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“Financial instruments

1. Transferable securities;
2. Money-market instruments;
3. Units in collective investment undertakings;
4. Options, futures, swaps, forward rate agreements and any other derivative...
5. Options, futures, swaps, forward rate agreements and any other derivative...
6. Options, futures, swaps, and any other derivative contracts relating to...
7. Options, futures, swaps, forwards and any other derivative contracts relating...
8. Derivative instruments for the transfer of credit risk;
9. Financial contracts for differences;
10. Options, futures, swaps, forward rate agreements and any other derivative...
 - PART 2 — CHAPTER VI OF THE COMMISSION REGULATION
 - PART 3 — SECTION A OF ANNEX I TO THE MARKETS IN FINANCIAL INSTRUMENTS DIRECTIVE

“Investment services and activities

1. Reception and transmission of orders in relation to one or...
2. Execution of orders on behalf of clients.
3. Dealing on own account.
4. Portfolio management.
5. Investment advice.
6. Underwriting of financial instruments and/or placing of financial instruments on...
7. Placing of financial instruments without a firm commitment basis.
8. Operation of Multilateral Trading Facilities.”
 - PART 4 — ARTICLE 52 OF COMMISSION DIRECTIVE 2006/73/EC

SCHEDULE 3 — ARTICLE 2 OF THE MARKETS IN FINANCIAL INSTRUMENTS DIRECTIVE
— “Article 2

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2. The rights conferred by this Directive shall not extend to...
3. In order to take account of developments on financial markets,...

SCHEDULE 4 — RELEVANT TEXT OF THE INSURANCE MEDIATION DIRECTIVE
Part I — Article 1.2
Part II — Article 2.3
Part III — Article 2.4

Explanatory Note

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