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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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Exclusions

- 26. Arrangements not causing a deal
- 27. Enabling parties to communicate
- 28. Arranging transactions to which the arranger is a party
- 28A Arranging contracts , plans or agreements to which the arranger is a party
- 29. Arranging deals with or through authorised persons
- 29A Arrangements made in the course of administration by authorised person
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- 58. Arranging deals in contracts of insurance written at Lloyd's

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- 63B Entering into and administering regulated home reversion plans

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- 63F Entering into and administering regulated home purchase plans

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- 63G Arranging administration by authorised person
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- 63J Entering into and administering regulated sale and rent back agreements

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- 72D Large risks contracts where risk situated outside the EEA
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- 72F Interpretation

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- 77A Alternative finance investment bonds
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- 80. Certificates representing certain securities
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- 82A Greenhouse gas emissions allowances
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- 86. Lloyd's syndicate capacity and syndicate membership
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- VII Pension fund management
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PART 1 — SECTION C OF ANNEX I TO THE MARKETS IN FINANCIAL
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2. Money-market instruments;
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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
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“Investment services and activities

1. Reception and transmission of orders in relation to one or...
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4. Portfolio management.
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6. Underwriting of financial instruments and/or placing of financial instruments on...
7. Placing of financial instruments without a firm commitment basis.
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PART 4 — ARTICLE 52 OF COMMISSION DIRECTIVE 2006/73/EC

SCHEDULE 3 — ARTICLE 2 OF THE MARKETS IN FINANCIAL
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— “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,...

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SCHEDULE 4 — RELEVANT TEXT OF THE INSURANCE MEDIATION
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Explanatory Note

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