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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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- VI Capital redemption contracts
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- VIII Collective insurance etc.
- IX Social insurance
 - SCHEDULE 2 SECTIONS A AND C OF ANNEX I TO THE MARKETS IN FINANCIAL INSTRUMENTS DIRECTIVE AND RELATED COMMUNITY SUBORDINATE LEGISLATION
 - PART 1 SECTION C OF ANNEX I TO THE MARKETS IN FINANCIAL INSTRUMENTS DIRECTIVE

"Financial instruments

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- 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...
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"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 1 — Article 1.2

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SCHEDULE 5 — SPECIFIED BENCHMARKS

SCHEDULE 6 — FUNCTIONS INCLUDED IN THE ACTIVITY OF MANAGING A UCITS: ANNEX II TO THE UCITS DIRECTIVE

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- 2. Administration—(a) legal and fund management accounting services;
- 3. Marketing.
- SCHEDULE 7 ADDITIONAL ACTIVITIES INCLUDED IN THE ACTIVITY OF MANAGING AN AIF LISTED IN PARAGRAPH 2 OF ANNEX I TO THE ALTERNATIVE INVESTMENT FUND MANAGERS DIRECTIVE
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- 7. A national, regional or local government or body or other...
- 8. A holding company.
- 9. An employee participation scheme or employee savings scheme.
- 10. A securitisation special purpose entity.
- 11. An AIFM, the registered office of which is not in...

Explanatory Note

Status:

Point in time view as at 01/01/2016.

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