Changes to legislation: The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 is up to date with all changes known to be in force on or before 01 June 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)

## 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
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Changes to legislation: The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 is up to date with all changes known to be in force on or before 01 June 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)

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Changes to legislation: The Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 is up to date with all changes known to be in force on or before 01 June 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)

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52.A	Other ex	cclusions

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53.	Advising	on investme	ents

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59	Funaral	nlan	contracts
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60S Meaning of consumer etc.

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- 61A Mortgage contracts which are not regulated mortgage contracts

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63K	Arranging	administr	ation by	authorised	nercon
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- 63L Administration pursuant to agreement with authorised person
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- 68. Activities carried on in connection with the sale of goods or supply of services
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- 72. Overseas persons
- 72A Information society services
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- 83. Options
- 84. Futures
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- 86. Lloyd's syndicate capacity and syndicate membership
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89E Meaning of "consumer" etc.

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- 2. Sickness
- 3. Land vehicles
- 4. Railway rolling stock
- 5. Aircraft
- 6. Ships
- 7. Goods in transit
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- 9. Damage to property
- 10. Motor vehicle liability
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- 17. Legal expenses

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- 18. Assistance
  - PART II CONTRACTS OF LONG-TERM INSURANCE
- I Life and annuity
- II Marriage and birth
- III Linked long term
- IV Permanent health
- V Tontines
- VI Capital redemption contracts
- VII Pension fund management
- 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 ANNEY I TO THE MARKETS IN FINANCIAL
    - PART 1 SECTION C OF ANNEX I TO THE MARKETS IN FINANCIAL INSTRUMENTS DIRECTIVE

#### "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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## Exemptions

- 1. This Directive shall not apply to: (a) insurance undertakings as...
- 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

Part II — Article 2.3

Part III — Article 2.4

SCHEDULE 4A — MEANING OF "BORROWER" IN RELATION TO GREEN DEAL CREDIT AGREEMENTS

SCHEDULE 5 — SPECIFIED BENCHMARKS

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

- 1. Investment management.
- 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
  - (a) Administration—(i) legal and fund management accounting services;

## SCHEDULE 8 — PERSONS EXCLUDED FROM REGULATED ACTIVITY OF MANAGING AN AIF

- 1. Interpretation of this Schedule
- 2. Persons excluded
- 3. An AIFM in so far as it manages one or...
- 4. An institution for occupational retirement provision which falls within the...
- 5. The European Central Bank, the European Investment Bank, the European...
- 6. A national central bank.
- 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 17/03/2016.

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