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 31 May 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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59	Funaral	nlan	contracts
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60S Meaning of consumer etc.

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- 6. Options, futures, swaps, and any other derivative contracts relating to...
- 7. Options, futures, swaps, forwards and any other derivative contracts relating...
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- 9. Financial contracts for differences;
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  - PART 3 SECTION A OF ANNEX I TO THE MARKETS IN FINANCIAL INSTRUMENTS DIRECTIVE

#### "Investment services and activities

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- 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

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- 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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- 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 21/03/2016.

#### **Changes to legislation:**

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