

SCHEDULE 3

Article 9

Deemed authorisation period: Part IV Permission

<i>Regulated activity</i>	<i>Investment type</i>	<i>Customer type</i>	<i>Other limitations</i>
Accepting deposits	Deposit	All	None
Agreeing to carry on specified kinds of activity			For the purposes of this activity, “specified kinds of activity” means the other regulated activities referred to in this table
Dealing in investments as agent	<ul style="list-style-type: none"> <li>(a) Contract for differences (excluding a spread bet and a rolling spot forex contract);</li> <li>(b) Option (excluding a commodity option and an option on a commodity future);</li> <li>(c) Certificate representing certain security;</li> <li>(d) Government and public security;</li> <li>(e) Instrument giving entitlements to investments;</li> <li>(f) Future (excluding a commodity future and a rolling spot forex contract);</li> <li>(g) Rolling spot forex contract;</li> <li>(h) Instrument creating or acknowledging indebtedness;</li> <li>(i) Right to or interest in investments (security);</li> <li>(j) Right to or interest in investments (contractually based investments)</li> </ul>	Eligible Counterparty	For the purposes of this activity, the permission to deal in the type of investment specified in (i) and (j) extends only to the types of investments specified in (a) to (h)
Dealing in investments as principal	<ul style="list-style-type: none"> <li>(a) Contract for differences (excluding a spread bet and a rolling spot forex contract);</li> <li>(b) Option (excluding a commodity option and an option on a commodity future);</li> </ul>	Eligible Counterparty	For the purposes of this activity, the permission is limited to BCo carrying on the activity in the manner specified in article 16(1)

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<i>Regulated activity</i>	<i>Investment type</i>	<i>Customer type</i>	<i>Other limitations</i>
	(c) Future (excluding a commodity future and a rolling spot forex contract); (d) Rolling spot forex contract; (e) Right to or interest in investments (contractually based investments)		(a) or (b) of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 <sup>(1)</sup> .  For the purposes of this activity, the permission to deal in the type of investment specified in (e) extends only to the types of investments specified in (a) to (d)
Advising on investments (except on pension transfers and pension opt outs)	Non-investment insurance contract	Retail (non-investment insurance)	None
Arranging deals in investments	Non-investment insurance contract	Retail (non-investment insurance)	None
Assisting in the administration and performance of a contract of insurance	Non-investment insurance contract	Retail (non-investment insurance)	None
Dealing in investments as agent	Non-investment insurance contract	Retail (non-investment insurance)	None
Making arrangements with a view to transactions in investments	Non-investment insurance contract	Retail (non-investment insurance)	None
Administering a regulated mortgage contract	Regulated mortgage contract	Customer	None
Advising on regulated mortgage contracts	Regulated mortgage contract	Customer	None
Arranging for a person to enter into or to vary regulated mortgage contracts	Regulated mortgage contract	Customer	None

(1) Amended by S.I. 2006/3384.

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<i>Regulated activity</i>	<i>Investment type</i>	<i>Customer type</i>	<i>Other limitations</i>
Entering into a regulated mortgage contract as lender	Regulated mortgage contract	Customer	None
Making arrangements with a view to regulated mortgage contracts	Regulated mortgage contract	Customer	None