
STATUTORY INSTRUMENTS

2017 No. 1127

FINANCIAL SERVICES AND MARKETS

**The Packaged Retail and Insurance-based
Investment Products Regulations 2017**

Made - - - - *4th December 2017*
Laid before Parliament *5th December 2017*
Coming into force *1st January 2018*

**THE PACKAGED RETAIL AND INSURANCE-BASED
INVESTMENT PRODUCTS REGULATIONS 2017**

1. Citation and commencement
 2. Interpretation
 3. Designation of competent authority
 4. Prohibitions and suspensions
 5. Revocation or variation of order under regulation 4
 6. Administrative penalties and statements
 7. Requirement to notify retail investor
 8. Right to refer a matter to the Tribunal
 9. Sanctions under regulation 4: procedure
 10. Sanctions under regulation 6: procedure
 11. Application of the Financial Services and Markets Act 2000 and secondary legislation
 12. Minor and consequential amendments
 13. Review
- Signature

SCHEDULE 1 — Application and modification of the Financial Services and Markets Act 2000 and secondary legislation

1. The Tribunal
2. Information gathering and investigations
3. Statements of policy
4. Restrictions on disclosure of information
5. Injunctions and restitution
6. Notices

Status: This is the original version (as it was originally made).

7. Offences
8. Limitation on powers to require documents
9. Penalties and fees
10. Exemption from liability in damages
11. The Financial Services and Markets Act 2000 (Service of Notices) Regulations 2001
12. The Financial Services and Markets Act 2000 (Disclosure of Confidential Information) Regulations 2001

SCHEDULE 2 — Minor and consequential amendments to primary and secondary legislation

1. The Financial Services and Markets Act 2000
2. The Public Interest Disclosure (Prescribed Persons) Order (Northern Ireland) 1999
3. The Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes) (Exemption) Order 2001
4. The Financial Services and Markets Act 2000 (Disclosure of Confidential Information) Regulations 2001
5. The Financial Services and Markets Act 2000 (Financial Promotion) Order 2005
6. The Payment to Treasury of Penalties (Enforcement Costs) Order 2013
7. The Financial Services and Markets Act 2000 (Qualifying EU Provisions) Order 2013
8. The Financial Services Act 2012 (Relevant Functions in relation to Complaints Scheme) Order 2014
9. The Public Interest Disclosure (Prescribed Persons) Order 2014

Explanatory Note