

SCHEDULE

Specified provisions for the purposes of regulation 3

The Financial Services and Markets Act 2000 (Amendment) (EU Exit) Regulations 2019

33. In the Financial Services and Markets Act 2000 (Amendment) (EU Exit) Regulations 2019⁽¹⁾—

- (a) in regulation 10(3) (Section 3M (directions relating to consolidated supervision of groups)), new subsection (2A);
- (b) in regulation 13 (Section 39A (certain tied agents operating outside United Kingdom))—
 - (i) paragraph (8);
 - (ii) paragraph (10);
- (c) in regulation 16 (Section 55J (variation and cancellation of Part 4A permission: general))—
 - (i) paragraph (2)(a)(ii);
 - (ii) in paragraph (3), new subsection (6AA);
 - (iii) paragraph (7);
- (d) regulation 40 (Section 139A (power of the FCA to give guidance));
- (e) regulation 45(a) (Section 168 (appointment of persons to carry out investigations in particular cases));
- (f) in regulation 53(b) (Section 190 (requests for information)), new paragraph (b);
- (g) in regulation 74 (Section 391 (publication))—
 - (i) in paragraph (4), new subsection (8AA);
 - (ii) in paragraph (6), new subsection (8BA);
 - (iii) in paragraph (7)(c), new paragraph (c);
 - (iv) paragraph (8);
- (h) in regulation 80(2)(b) (Section 398 (misleading FCA or PRA: residual cases)), new paragraph (eb);
- (i) in regulation 89 (mortgage agreements etc), in new section 423A, subsections 5(a) and (b);
- (j) in regulation 116(b) (Paragraph 11 (information gathering and investigations)), new paragraph (d)(i)(dd) and (iii);
- (k) regulation 117(2) (Paragraphs 22 and 23 (public record and disclosure of information));
- (l) in regulation 121(15) (Article 3 (interpretation)), new paragraph (4);
- (m) in regulation 122 (Article 4 (specified activities: general))—
 - (i) in paragraph (4), new paragraph (4AA);
 - (ii) paragraph (5);
- (n) in regulation 136 (Article 53DA (advising on regulated credit agreements for the acquisition of land), new paragraph (2);
- (o) regulation 137(2) (Article 54 (advice given in newspapers etc));
- (p) in regulation 138 (Article 60D (exempt agreements: exemption relating to the purchase of land for non-residential purposes)), new paragraph (5);

(1) [S.I. 2019/632](#), to which there are amendments not relevant to these Regulations.

Status: This is the original version (as it was originally made).

- (q) in regulation 145(3) (Article 61 (regulated mortgage contracts)), new sub-paragraph (aa);
- (r) regulation 147(8)(b)(i) (Article 72 overseas persons));
- (s) in regulation 151(5) (Article 72G (local authorities)), new paragraph (4A);
- (t) in regulation 152(2) (Article 77A (alternative finance investment bonds)), new sub-paragraph (f);
- (u) in regulation 162 (introduction and transitional provision), paragraph (2)(a) and (b);
- (v) regulation 174(4) (Article 59 (annual accounts and directors' report));
- (w) in regulation 176(3) (Schedule 1 (controlled activities and controlled investments)), new sub-paragraph (f);
- (x) in regulation 194(3) (Consumer Credit Act 1974), new subsection (3A);
- (y) in regulation 200 (giving, and effect, of transitional directions), paragraphs (1)(a) and (2) (b) and (c).