
STATUTORY INSTRUMENTS

2023 No. 1410

The Financial Services and Markets Act 2023
(Consequential Amendments) Regulations 2023

PART 4

Amendment of Retained Direct EU Legislation

Regulation (EU) No 600/2014

17.—(1) Regulation (EU) No 600/2014 of the European Parliament and of the Council of 15 May 2014 on markets in financial instruments and amending Regulation (EU) No 648/2012⁽¹⁾ is amended as follows.

(2) In Article 4 (waivers for equity instruments)—

- (a) in paragraph 1(a), omit the final sentence;
- (b) in paragraph 1(b)(i), omit “, subject to the conditions set out in Article 5”.

(3) In the following provisions, for “5(3A)”, in each place where it occurs, substitute “14(6D)”⁽²⁾—

- (a) in Article 9 (waivers for non-equity instruments), paragraph 4A;
- (b) in Article 11 (authorisation of deferred publication), paragraph 2A;
- (c) in Article 21 (post-trade disclosure by investment firms, including systematic internalisers, in respect of bonds, structured finance products, emission allowances and derivatives), paragraph 4A.

(1) EUR 600/2014 was amended by Schedule 2 to the Financial Services and Markets Act 2023 (c. 29) and S.I. 2018/1403; there are other amending instruments but none is relevant.

(2) Paragraph (6D) of Article 14 was inserted by paragraph 6 of Schedule 2 to the Financial Services and Markets Act 2023.