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STATUTORY INSTRUMENTS

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**2009 No. 1342**

**FINANCIAL SERVICES AND MARKETS**

**The Financial Services and Markets Act 2000  
(Regulated Activities) (Amendment) Order 2009**

*Approved by both Houses of Parliament*

*Made - - - - 1st June 2009*

*Laid before Parliament 2nd June 2009*

*Coming into force in accordance with article 1(2)*

**THE FINANCIAL SERVICES AND MARKETS ACT 2000  
(REGULATED ACTIVITIES) (AMENDMENT) ORDER 2009**

PART 1

1. Citation, commencement and interpretation

PART 2

2. Amendment of the Principal Order
3. Definitions
4. Arranging sale and rent back agreements
5. Exclusion of arrangements not causing a deal
6. Exclusion where a person provides a means of communication between parties
7. Exclusion where the arranger is a party to the contract, plan or agreement
8. Exclusion of arrangements where transaction is with or through authorised persons
9. Exclusion made in the course of administration by authorised person
10. Exclusion of arrangements which consist of introduction to an authorised person etc. for independent advice
11. Exclusion of certain other arrangements consisting of an introduction to an authorised person etc.
12. Other exclusions: arranging
13. Advising on regulated sale and rent back agreements
14. Exclusion of advice given in newspapers etc.
15. Exclusion of advice given in the course of administration by authorised person

*Status: This is the original version (as it was originally made). This item of legislation is currently only available in its original format.*

16. Other exclusions: advising
17. Entering into and administering regulated sale and rent back agreements
18. Exclusion of trustees, nominees and personal representatives
19. Exclusion of activities carried on in the course of a profession or non-investment business
20. Overseas persons
21. Specified investments
22. Rights to or interests in investments

#### PART 3

23. Amendments of the Companies Act 1985
24. Amendments of the Law of Property (Miscellaneous Provisions) Act 1989
25. Amendments of the Financial Services and Markets Act 2000
26. Amendments of the Companies Act 2006

#### PART 4

27. Amendments of the Financial Services and Markets Act 2000 (Carrying on Regulated Activities by Way of Business) Order 2001
28. Amendments of the Financial Services and Markets Act 2000 (Exemption) Order 2001
29. Amendments of the Financial Services and Markets Act 2000 (Professions) (Non-Exempt Activities) Order 2001
30. Amendments of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005
31. Amendments of the Limited Liability Partnerships (Accounts and Audit) (Application of Companies Act 2006) Regulations 2008

#### PART 5

32. Interim permission and interim variation of permission
33. Application of the Authority's rules etc. to persons with an interim permission or interim variation of permission
34. Application of the Act etc.  
Signature

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#### SCHEDULE — APPLICATION OF THE ACT AND THE PRINCIPAL ORDER TO PERSONS WITH AN INTERIM PERMISSION

1. Paragraphs 2 and 3 apply to every person with an...
2. For the purposes of section 20 (authorised persons acting without...
3. A person's interim permission is to be disregarded for the...
4. Paragraphs 5 to 9 apply to a person who falls...
5. A person with an interim permission is to be treated...
6. For the purposes of section 21(2) (restrictions on financial promotion),...
7. Subsection (3)(a) of section 213 (the compensation scheme) does not...
8. In article 29 of the Principal Order (arranging deals with...
9. In sub-paragraph (a) of paragraph (4) of article 29A of...

Explanatory Note