

Chapter 2

Statutory notices and the allocation of decision making

Warning notices and decision notices under the Act and certain other enactments

Note: Third party rights and access to FCA material apply to the powers listed in this Annex where indicated by an asterisk * (see ■ DEPP 2.4)

Section of the Act	Description	Handbook reference	Decision maker
55X(1)(a) and(b)	when the FCA is proposing to grant an application for a <i>Part 4A permission</i> with a <i>limitation</i> or a <i>requirement</i> which was not applied for, or with a narrower description of <i>regulated activity</i> than that applied for	SUP 6	Executive procedures
55X(1)(c) and (d)	when the FCA is proposing to grant an application to vary a <i>firm's Part 4A permission</i> but, other than as part of the application, to restrict the <i>Part 4A permission</i> (either by imposing a <i>limitation</i> or <i>requirement</i> which was not applied for or by specifying a narrower description of <i>regulated activity</i> than that applied for)		Executive procedures
55X(1)(e)	when the FCA is proposing to exercise its power under section 55L(1) in connection with an application to the PRA for a <i>Part 4A permission</i> or the variation of a <i>Part 4A permission</i>		Executive procedures
55X(1)(f)	when the FCA is proposing to grant an application for <i>approver permission</i> but subject to terms which were not sought in the application	SUP 6A	Executive procedures
55X(1)(g)	when the FCA is proposing to grant an application to vary the terms of a <i>firm's approver permission</i> but making different changes to those sought in the application		Executive procedures
55X(2)	when the FCA is proposing to refuse an application for a <i>Part 4A permission</i>		Executive procedures
55X(2)	when the FCA is proposing to refuse an application to vary a <i>firm's Part 4A permission</i>	SUP 6	Executive procedures
55X(2)	when the FCA is proposing to refuse an application to cancel a <i>firm's Part 4A permission</i>	SUP 6	Executive procedures
55X(2)	when the FCA is proposing to refuse an application for the variation of a <i>requirement</i> imposed under section 55L or for the imposition of a new <i>requirement</i>		Executive procedures

Section of the Act	Description	Handbook reference	Decision maker
55X(2)	when the FCA is proposing to refuse an application for <i>approver permission</i>	SUP 6A	<i>Executive procedures</i>
55X(2)	when the FCA is proposing to refuse an application for the variation or cancellation of a <i>firm's approver permission</i>		<i>Executive procedures</i>
55X(4)(a) 55X(4)(b)	when the FCA is deciding to grant an application for a <i>Part 4A permission</i> with a <i>limitation</i> or a <i>requirement</i> which was not applied for, or with a narrower description of <i>regulated activity</i> than that applied for		<i>Executive procedures</i>
55X(4)(c) 55X(4)(d)	when the FCA is deciding to grant an application to vary a <i>firm's Part 4A permission</i> but, other than as part of the application, to restrict the <i>Part 4A permission</i> (either by imposing a <i>limitation</i> or <i>requirement</i> which was not applied for or by specifying a narrower description of <i>regulated activity</i> than that applied for)	SUP 6	<i>Executive procedures</i>
55X(4)(e)	when the FCA is deciding to exercise its power under section 55L(1) in connection with an application to the <i>PRA</i> for a <i>Part 4A permission</i> or the variation of a <i>Part 4A permission</i>		<i>Executive procedures</i>
55X(4)(ea)	when the FCA is deciding to grant an application for <i>approver permission</i> but subject to terms which were not sought in the application	SUP 6A	<i>Executive procedures</i>
55X(4)(eb)	when the FCA is deciding to grant an application to vary the terms of a <i>firm's approver permission</i> but making different changes to those sought in the application		<i>Executive procedures</i>
55X(4)(f)	when the FCA is deciding to refuse an application for a <i>Part 4A permission</i>		<i>Executive procedures</i> See DEPP 2.5.5 G
55X(4)(f)	when the FCA is deciding to refuse an application to vary a <i>firm's Part 4A permission</i>	SUP 6	<i>Executive procedures</i>
55X(4)(f)	when the FCA is deciding to refuse an application to cancel a <i>firm's Part 4A permission</i>	SUP 6	<i>Executive procedures</i> See DEPP 2.5.5 G
55X(4)(f)	When the FCA is deciding to refuse an application for the variation of a <i>requirement</i> imposed under section 55L or for the imposition of a new <i>requirement</i>		<i>Executive procedures</i>
55X(4)(f)	when the FCA is deciding to refuse an application for <i>approver permission</i>	SUP 6A	<i>Executive procedures</i>
55X(4)(f)	when the FCA is deciding to refuse an application for the variation or cancellation of a <i>firm's approver permission</i>		<i>Executive procedures</i>

Section of the Act	Description	Handbook reference	Decision maker
55Z(1) 55Z(2)	when the <i>FCA</i> is proposing or deciding to cancel a <i>firm's Part 4A permission</i> or <i>approver permission</i> otherwise than at the <i>firm's</i> request *		<i>Executive procedures</i>
57(1)/(3)	when the <i>FCA</i> is proposing or deciding to make a <i>prohibition order</i> against an individual*		<i>RDC</i>
58(3)/(4)	when the <i>FCA</i> is proposing or deciding to refuse an application for the variation or revocation of a <i>prohibition order</i>		<i>RDC</i>
62(2)	when the <i>FCA</i> is proposing to refuse an application for approval of a <i>person</i> performing a <i>controlled function</i> or to grant the application subject to conditions or for a limited period (or both)	SUP 10A and SUP 10C	<i>Executive procedures</i>
62(3)	when the <i>FCA</i> is deciding to refuse an application for approval of a <i>person</i> performing a <i>controlled function</i> or to grant the application subject to conditions or for a limited period (or both)	SUP 10A and SUP 10C	<i>Executive procedures</i> See DEPP 2.5.5 G
63(3)/(4)	when the <i>FCA</i> is proposing or deciding to withdraw approval from an <i>approved person</i> *		<i>Executive procedures</i>
63B(1)/(3)	when the <i>FCA</i> is proposing or deciding to impose a penalty on a <i>person</i> under section 63A*		<i>RDC</i>
63ZA(4)(b) and 62(2)	when the <i>FCA</i> is proposing to refuse an application for variation of an approval granted to an <i>SMF manager</i> , subject to conditions	SUP 10C	<i>Executive procedures</i>
63ZA(8) and 62(3)	when the <i>FCA</i> is deciding to refuse an application for variation of an approval granted to an <i>SMF manager</i> , subject to conditions	SUP 10C	<i>Executive procedures</i> See DEPP 2.5.5G
67(1)/(4)	when the <i>FCA</i> is proposing or deciding to take action against an individual by exercising the disciplinary powers conferred by section 66*		<i>RDC</i>
76(4)/(5)	when the <i>FCA</i> is proposing or deciding to refuse an application for <i>listing</i> of securities	LR 2 and LR 3	<i>Executive procedures</i>
78(10)/(11)(a)	when the <i>FCA</i> has suspended, on its own initiative, the <i>listing</i> of securities and is proposing or deciding to refuse an application by an issuer for cancellation of the suspension	LR 5	<i>Executive procedures</i>
78A(4)/(5)	When the <i>FCA</i> is proposing or deciding to refuse an application by the <i>issuer</i> of the <i>securities</i> for the discontinuance or suspension of the <i>listing</i> of the <i>securities</i>	LR 5	<i>Executive procedures</i>
78A(7)/(8)(a)	When the <i>FCA</i> has suspended the <i>listing</i> of <i>securities</i> on the application of the <i>issuer</i> of the <i>securities</i> and is proposing or deciding to refuse an application by	LR 5	<i>Executive procedures</i>

Section of the Act	Description	Handbook reference	Decision maker
87M(2)/(3)	the <i>issuer</i> for the cancellation of the suspension when the <i>FCA</i> is proposing or deciding to publish a statement censuring an issuer of <i>transferable securities</i> , a <i>person</i> offering <i>transferable securities</i> to the public or a <i>person</i> requesting the admission of <i>transferable securities</i> to trading on a <i>regulated market</i>		RDC
88(4)(a) 88(6)(a) 88(8)(a)	when the <i>FCA</i> is proposing or deciding to refuse a <i>person's</i> application for approval as a <i>sponsor</i>	LR 8	Executive procedures
88(4)(a) 88(6)(a) 88(8)(b)	when the <i>FCA</i> is proposing or deciding to refuse a <i>sponsor's</i> application for the suspension of an approval as a <i>sponsor</i>		Executive procedures
88(4)(a) 88(6)(a) 88(8)(c)	when the <i>FCA</i> is proposing or deciding to refuse a <i>sponsor's</i> application for the withdrawal of the suspension of an approval as a <i>sponsor</i>		Executive procedures
88(4)(a) 88(6)(a) 88(8)(d)	when the <i>FCA</i> is proposing or deciding to refuse a <i>sponsor's</i> application for the withdrawal or variation of a limitation, or other restriction on the services to which a <i>sponsor's</i> approval relates		Executive procedures See DEPP 2.5.11B G
88(4)(aa) 88(6)(aa)	when the <i>FCA</i> is proposing or deciding to impose limitations or restrictions on the services to which a <i>sponsor's</i> approval relates		Executive procedures See DEPP 2.5.11A G
88(4)(b) 88(6)(b)	when the <i>FCA</i> is proposing or deciding to cancel a <i>sponsor's</i> approval as a <i>sponsor</i> otherwise than at the <i>sponsor's</i> request*		Executive procedures
88B(1) 88B(5)	when the <i>FCA</i> is proposing or deciding to take action against a <i>sponsor</i> by exercising the disciplinary powers conferred by section 88A*		RDC
89K(2)/(3)	when the <i>FCA</i> is proposing or deciding to publish a statement that an <i>issuer</i> of <i>securities</i> admitted to trading on a <i>regulated market</i> is failing or has failed to comply with an applicable transparency obligation		RDC
89P(5)(a) 89P(7)(a) 89P(9)(a)	when the <i>FCA</i> is proposing or deciding to refuse a <i>person's</i> application for approval as a <i>primary information provider</i>		Executive procedures
89P(5)(a) 89P(7)(a)89P(9)(b)	when the <i>FCA</i> is proposing or deciding to refuse a <i>primary information provider's</i> application for the suspension of an approval as a <i>primary information provider</i>		Executive procedures

Section of the Act	Description	Handbook reference	Decision maker
89P(5)(a) 89P(7)(a) 89P(9)(c)	when the <i>FCA</i> is proposing or deciding to refuse a <i>primary information provider's</i> application for the withdrawal of the suspension of an approval as a <i>primary information provider</i>		<i>Executive procedures</i>
89P(5)(a) 89P(7)(a) 89P(9)(d)	when the <i>FCA</i> is proposing or deciding to refuse a <i>primary information provider's</i> application for the withdrawal or variation of a limitation or other restriction on the dissemination of <i>regulated information</i> to which a <i>primary information provider's</i> approval relates		<i>Executive procedures</i> See DEPP 2.5.11D G
89P(5)(b) 89P(7)(b)	when the <i>FCA</i> is proposing or deciding to impose <i>limitations</i> or other restrictions on the dissemination of <i>regulated information</i> to which a <i>primary information provider's</i> approval relates.		<i>Executive procedures</i> See DEPP 2.5.11A G
89P(5)(c) 89P(7)(c)	when the <i>FCA</i> is proposing or deciding to cancel a <i>person's</i> approval as a <i>primary information provider</i> otherwise than at the <i>primary information provider's</i> request		<i>Executive procedures</i>
89R(1) 89R(5)	when the <i>FCA</i> is proposing or deciding to take action against a <i>primary information provider</i> by exercising the disciplinary powers conferred by section 89Q		RDC
92(1)/(4)	when the <i>FCA</i> is proposing or deciding to take action against any person under section 91 for breach of Part 6 rules*		RDC
126(1)/ 127(1)	when the <i>FCA</i> is proposing or deciding to impose a penalty or <i>public censure</i> under section 123 of the <i>Act</i> , a disciplinary prohibition under section 123A of the <i>Act</i> , or a suspension or restriction under section 123B of the <i>Act</i> *		RDC
131H(1)/ (4)	when the <i>FCA</i> is proposing or deciding to take action against a <i>person</i> under section 131G*		RDC
142T(1)/ (4)	when the <i>FCA</i> is proposing or deciding to take action against a <i>person</i> under section 142S*		RDC
S143T(1) S143T(3)	When the <i>FCA</i> is proposing or deciding to make a Part 9C <i>prohibition order</i> under S143S(2) of the <i>Act</i>		RDC or <i>executive procedures</i>
S143U(2) (b) S143U(2) (c)	When the <i>FCA</i> is proposing or deciding to refuse an application for the variation or revocation of a <i>prohibition order</i> under S143U		RDC or <i>executive procedures</i>
S143W(1) S143W(5)	When the <i>FCA</i> is proposing or deciding to impose a penalty on a <i>person</i> under section 143V (2) of the <i>Act</i>		RDC or <i>executive procedures</i>
S143X(1) S143X(5)	When the <i>FCA</i> is proposing or deciding to publish a statement on a <i>person</i> under section 143P 143W(3) of the <i>Act</i>		RDC or <i>executive procedures</i>

Section of the Act	Description	Handbook reference	Decision maker
189(4)/(7)	when the <i>FCA</i> is proposing or deciding to object to a change in <i>control</i> following receipt of a <i>section 178 notice</i>	SUP 11	<i>Executive procedures</i>
189(4)/(7)	when the <i>FCA</i> is proposing or deciding to approve a change in <i>control</i> with conditions, following receipt of a <i>section 178 notice</i>	SUP 11	<i>Executive procedures</i>
187(1)/(3) and 188(1)191A(4)/(6)	when the <i>FCA</i> is proposing or deciding to object to a <i>person</i> who has acquired or increased control without giving a <i>section 178 notice</i>	SUP 11	<i>Executive procedures</i>
191A(4)/(6)	when the <i>FCA</i> is proposing or deciding to object to a <i>person's control</i> on the basis of the matters in section 186	SUP 11	<i>Executive procedures</i>
191A(4)/(6)	when the <i>FCA</i> is proposing or deciding to object to a <i>person's control</i> on the grounds that he is in breach of a condition imposed under section 187	SUP 11	<i>Executive procedures</i>
192L(1) 192L(4)	when the <i>FCA</i> is proposing or deciding to take action against a qualifying parent undertaking by exercising the disciplinary powers conferred by section 192K*		RDC
200(4)/(5)	[deleted]		
207(1)/ 208(1)	when the <i>FCA</i> is proposing or deciding to publish a statement (under section 205) or impose a financial penalty (under section 206) or suspend a <i>permission</i> or impose a restriction in relation to the carrying on of a <i>regulated activity</i> (under section 206A). This applies in respect of an <i>authorised person</i> , or an <i>unauthorised person</i> to whom section 404C applies.*		RDC
245(1)/(2)	when the <i>FCA</i> is proposing or deciding to refuse an application for an <i>authorisation</i> order declaring a <i>unit trust scheme</i> to be an <i>AUT</i> or an <i>AUT</i> to be a money market fund	COLL 2	<i>Executive procedures</i> See DEPP 2.5.15 G
249 345B(1)/(4)	when the <i>FCA</i> is proposing or deciding to take action against an auditor by exercising the disciplinary powers conferred by section 249*		RDC
252(1)/(4)	when the <i>FCA</i> is proposing or deciding to refuse approval of a proposal to replace the <i>trustee</i> or <i>manager</i> of an <i>AUT</i>	COLL 2	<i>Executive procedures</i>
252A(4)(b)/(6)(a)	when the <i>FCA</i> is proposing or deciding to refuse approval of a proposal by the <i>manager</i> of a <i>feeder UCITS</i> to make an alteration to the <i>trust deed</i> to enable the <i>feeder UCITS</i> to convert into a <i>UCITS scheme</i> which is not a <i>feeder UCITS</i>	COLL 11	<i>Executive procedures</i>

Section of the Act	Description	Handbook reference	Decision maker
255(1)/(2)	when the <i>FCA</i> is proposing or deciding to make an order under section 254 revoking the <i>authorisation order</i> of an <i>AUT</i> *	None, but see Chapter 14 of the Regulatory Guide <i>EG</i> .	<i>Executive procedures</i>
256(4)/(5)	when the <i>FCA</i> is proposing or deciding to refuse a request for the revocation of the <i>authorisation order</i> of an <i>AUT</i>		<i>Executive procedures</i>
260(1)/(2)	when the <i>FCA</i> , on an application to revoke or vary a direction under section 257, proposes or decides to refuse to revoke or vary the direction or proposes or decides to vary the direction otherwise than in accordance with the application		<i>Executive procedures</i>
261G(1)/(2)	when the <i>FCA</i> is proposing or deciding to refuse an application for an <i>authorisation order</i> declaring a <i>scheme</i> to be an <i>ACS</i> or an <i>ACS</i> to be a money market fund	COLL 2	<i>Executive procedures</i> See DEPP 2.5.15 G
261R(1)/(4)	when the <i>FCA</i> is proposing or deciding to refuse approval of a proposal to replace the <i>depository</i> or <i>authorised contractual scheme manager</i> of an <i>ACS</i>	COLL 2	<i>Executive procedures</i>
261S(4)(b)/ (6)(a)	when the <i>FCA</i> is proposing or deciding to refuse approval of a proposal by the <i>authorised contractual scheme manager</i> of an <i>ACS</i> which is a <i>feeder UCITS</i> to make an alteration to the <i>contractual scheme deed</i> to enable the <i>feeder UCITS</i> to convert into a <i>UCITS scheme</i> which is not a <i>feeder UCITS</i>	COLL 11	<i>Executive procedures</i>
261V(1)/(2)	when the <i>FCA</i> is proposing or deciding to make an order under section 261U revoking the <i>authorisation order</i> of an <i>ACS</i> *	None, but see Chapter 14 of the Regulatory Guide <i>EG</i> .	<i>Executive procedures</i>
261W(4)/(5)	when the <i>FCA</i> is proposing or deciding to refuse a request for the revocation of the <i>authorisation order</i> of an <i>ACS</i>		<i>Executive procedures</i>
261Z2(1)/(2)	when the <i>FCA</i> , on an application to revoke or vary a direction under section 261X, proposes or decides to refuse to revoke or vary the direction or proposes or decides to vary the direction otherwise than in accordance with the application		<i>Executive procedures</i>
264(2)/ 265(4)	[deleted]		
269(1)/(2)	[deleted]		
276(1)/(2)	when the <i>FCA</i> is proposing or deciding to refuse an application for an order declaring a <i>collective investment scheme</i> to be a <i>recognised scheme</i> under section 272	COLL 9	<i>Executive procedures</i>
280(1)/(2)	when the <i>FCA</i> is proposing or deciding to revoke a section 272 order in respect of a <i>recognised scheme</i> *		<i>Executive procedures</i>

Section of the Act	Description	Handbook reference	Decision maker
282B	when the <i>FCA</i> is proposing or deciding to publish a statement censuring the <i>operator</i> of a <i>scheme</i> recognised under section 272 of the Act.	COLL 9	<i>Executive procedures</i>
301G(3)(b)/(5)	when the <i>FCA</i> is proposing or deciding to object to a proposed acquisition of a <i>UK RIE</i> following receipt of a section 301A notice .	REC 4.2C	<i>Executive procedures</i>
301I(3)/(4)	when the <i>FCA</i> is proposing or deciding to object to a <i>person</i> who has acquired or increased <i>control</i> in a <i>UK RIE</i> without giving a section 301 notice	REC 4.2C	<i>Executive procedures</i>
301I(3)/(4)	when the <i>FCA</i> is proposing or deciding to object to a <i>person's</i> control in a <i>UK RIE</i> on the basis of the approval requirement in section 301F(4)	REC 4.2C	<i>Executive procedures</i>
312G(1) 312H(1)	when the <i>FCA</i> is proposing or deciding to take action against a <i>recognised investment exchange</i> by exercising the disciplinary powers conferred by sections 312E and 312F*		RDC
313B(9)	[deleted]		
313B(10)/(11)	[deleted]		
313BB(5)/ 313BC(5)	when, upon the application of an institution, the <i>FCA</i> is proposing or deciding not to revoke a requirement imposed on an institution under section 313A or is proposing or deciding that a requirement imposed on a class of institutions under section 313A will continue to apply to the applicant	REC 4.2D	<i>Executive procedures</i>
313BD(5)/ 313BE(4)	when, upon the application of an <i>issuer</i> , the <i>FCA</i> is proposing or deciding not to revoke a requirement imposed on an institution or a class of institutions under section 313A or to revoke a requirement imposed on a class of institutions under section 313A in relation to the class apart from one or more specified members of it, or one or more specified members of the class only	REC 4.2D	<i>Executive procedures</i>
331(1)/(3)	when the <i>FCA</i> is proposing or deciding to make an order disapplying the exemption from the <i>general prohibition</i> under section 327*		<i>Executive procedures</i>
331(7)/(8)	when the <i>FCA</i> is proposing or deciding to refuse an application for the variation or revocation of an order made under section 329*		<i>Executive procedures</i>
345B(1) 345B(4)	when the <i>FCA</i> is proposing or deciding to disqualify an auditor or actuary from being the auditor of, or acting as an actuary for, any <i>authorised person</i> or class of <i>authorised person</i> or from being the auditor of any <i>AUT, ACS</i> or <i>ICVC</i> *		RDC

Section of the Act	Description	Handbook reference	Decision maker
345B(1) 345B(4)	when the <i>FCA</i> is proposing or deciding to disqualify an auditor from being the auditor of any <i>recognised investment exchange</i> or any class of <i>recognised investment exchange</i> *		<i>RDC</i>
345B(1) 345B(4)	when the <i>FCA</i> is proposing or deciding to take action against an auditor or <i>actuary</i> by exercising the disciplinary powers conferred by sections 345(2)(c) or (d)*		<i>RDC</i>
385(1)/ 386(1)	when the <i>FCA</i> is proposing or deciding to exercise the power under section 384(5) to require a <i>person</i> to pay restitution*		<i>RDC</i>
404A(8)(a)	In connection with a <i>consumer redress scheme</i> , when the <i>FCA</i> is proposing to make a determination of whether a failure by a relevant firm has caused (or may cause) loss or damage to a <i>consumer</i> , or what the redress should be in respect of the failure	<i>CONRED</i>	<i>Executive procedures</i>
404A(8)(a)	In connection with a <i>consumer redress scheme</i> , when the <i>FCA</i> is deciding to make a determination of whether a failure by a relevant firm has caused (or may cause) loss or damage to a <i>consumer</i> , or what the redress should be in respect of the failure	<i>CONRED</i>	<i>Executive procedures</i>
412B(2)/(3)	when the <i>FCA</i> is proposing/deciding to refuse to approve a relevant system as defined in section 412A(9) of the <i>Act</i>		<i>Executive procedures</i>
412B(4)/(5)	when the <i>FCA</i> is proposing/deciding to suspend or withdraw its approval in relation to a relevant system as defined in section 412A(9) of the <i>Act</i> *		<i>Executive procedures</i>
412B(8)/(9)	when the <i>FCA</i> is proposing/deciding to refuse an application to cancel the suspension of approval in relation to a relevant system as defined in section 412A(9) of the <i>Act</i> *		<i>Executive procedures</i>
Paragraph 15A(4) of Schedule 3	[deleted]		
Paragraph 15A(5) of Schedule 3	[deleted]		
Paragraph 15B(2)(a) of Schedule 3	[deleted]		
Paragraph 19(8)/ (12) of Schedule 3	[deleted]		
Paragraph 5(6) of Schedule 6A	when the <i>FCA</i> is proposing to refuse to annul a decision to exercise its <i>additional own-initiative variation power</i> *		<i>Executive procedures</i>

Section of the Act	Description	Handbook reference	Decision maker
Paragraph 5(7) of Schedule 6A	when the <i>FCA</i> is deciding to refuse to annul a decision to exercise its <i>additional own-initiative variation power*</i>		<i>Executive procedures</i>
Co-operative and Community Benefit Societies Act (Northern Ireland) 1969			
	Description	Handbook reference	Decision maker
Sections 15 and 16	where the <i>FCA</i> gives at least two <i>months'</i> notice of the proposed cancellation or suspension of the registration of a <i>registered society</i>		<i>Executive procedures</i>
Sections 15 and 16	where the <i>FCA</i> is proposing to cancel or suspend the registration of a <i>registered society</i> relying on section 15 (1)(c)(ii)		<i>Executive procedures</i>
Section 65	where the <i>FCA</i> is proposing to petition for the winding up of a <i>registered society</i>		<i>Executive procedures</i>
Section 75	where the <i>FCA</i> is proposing to prosecute a <i>registered society</i>		<i>Executive procedures</i>
Credit Unions (Northern Ireland) Order 1985			
	Description	Handbook reference	Decision maker
Articles 60 and 61	where the <i>FCA</i> gives at least two <i>months'</i> notice of the proposed cancellation or suspension of the registration of a <i>Northern Ireland credit union</i>		<i>Executive procedures</i>
Articles 60(1) and 61(1)	where the <i>FCA</i> is proposing to cancel or suspend the registration of a <i>Northern Ireland credit union</i> relying on section 60(1)(c)(ii)		<i>Executive procedures</i>
Article 63	where the <i>FCA</i> is proposing to petition for the winding up of a <i>Northern Ireland credit union</i>		<i>Executive procedures</i>
Article 76	where the <i>FCA</i> is proposing to prosecute a <i>Northern Ireland credit union</i>		<i>Executive procedures</i>
Section of the Friendly Societies Act 1992			
	Description	Handbook reference	Decision maker
58A(1)(a)/(3)(a)	when the <i>FCA</i> is proposing or deciding to give a direction under section 54 or section 55 requiring a <i>friendly society</i> to take or refrain from taking steps where certain activities have become disproportionate to those of the <i>friendly society</i> group or, as the case may be, the society,	See DEPP 2.5.18G (3)	<i>Executive procedures</i>

Section of the Friendly Societies Act 1992	Description	Handbook reference	Decision maker
58A(1)(b)/(3)(b)	or varying such a direction other than at the request of the society* when the FCA is proposing or deciding to give a direction under section 90 providing for a transfer of the engagements of a friendly society *		Executive procedures
85(4A)	when the FCA, on an amalgamation between friendly societies each of which has a Part 4A permission, notifies the successor society of the terms of its Part 4A permission		Executive procedures See DEPP 2.5.12 G

OEIC Regulations reference	Description	Handbook reference	Decision maker
Regulation 16(1)/(2)	when the FCA is proposing or deciding to refuse an application for an authorisation order in respect of a proposed ICVC or an ICVC to be a money market fund	COLL 2	Executive procedures See DEPP 2.5.15 G
Regulation 22(1)/(2)/(4)/(5)	when the FCA is proposing to refuse approval of (or, having given a warning notice, deciding to refuse) a proposal to replace the depositary or director of an ICVC, or any other proposal or decision falling within regulation 21	COLL 2	Executive procedures
Regulation 22A(5)(b)/(8)(a)	when the FCA is proposing or deciding to refuse approval of a proposal by an ICVC which is a feeder UCITS to make an alteration to its instrument of incorporation to enable it to convert into a UCITS scheme which is not a feeder UCITS	COLL 11	Executive procedures
Regulation 24(1)/(2)	when the FCA is proposing or deciding to revoke an authorisation order relating to an ICVC under regulation 23(1)*		Executive procedures
Regulation 28(1)/(2)	when the FCA is proposing or deciding to refuse an application to revoke or vary a direction in accordance with a request under regulation 25(7) or to vary the direction in accordance with the application		Executive procedures
Paragraph 20 of Schedule 5	when the FCA is proposing or deciding to use the disqualification powers under section 249(1)*		RDC

Regulated Activities Order	Description	Handbook reference	Decision maker
Article 95(2)/(3)	when the FCA is proposing or deciding not to include, or to remove, an appointed representative from the Register*	SUP 12.4.10 G	Executive procedures
Article 95(7)/(8)	when the FCA is proposing or deciding to refuse an application to revoke a determination not to include, or to remove, an appointed representative from the Register*	SUP 12.4.10 G	Executive procedures

Payment Services Regulations	Description	Handbook reference	Decision maker
Regulations 9(7), 15 and 19	when the <i>FCA</i> is proposing to refuse an application for authorisation as an <i>authorised payment institution</i> , or for registration as a <i>small payment institution</i> , or for registration as an <i>account information service provider</i> , or to impose a requirement, or to refuse an application to vary an authorisation or existing registration		<i>Executive procedures</i>
Regulations 9(8)(a), 15 and 19	when the <i>FCA</i> is deciding to refuse an application for authorisation as an <i>authorised payment institution</i> , or for registration of a <i>small payment institution</i> , or for registration as an <i>account information service provider</i> , or to impose a requirement, or to refuse an application to vary an authorisation or existing registration		<i>Executive procedures</i>
Regulations 10(2), 10(3)(a), 15 and 19	when the <i>FCA</i> is proposing or deciding to either cancel an <i>authorised payment institution's</i> authorisation, or to cancel a <i>small payment institution</i> or <i>account information service provider's</i> registration, otherwise than at that institution's own request*		<i>Executive procedures</i>
Regulations 28(1) and 26	[deleted]		
Regulations 28(2)(a) and 26	[deleted]		
Regulations 28(1), 28(2)(a) and 26	[deleted]		
Regulation 34(8)	when the <i>FCA</i> is proposing to refuse an application for registration as an <i>agent</i>		<i>Executive procedures</i>
Regulation 34(9)(a)	when the <i>FCA</i> is deciding to refuse an application for registration as an <i>agent</i>		<i>Executive procedures</i>
Regulations 35(2) and 35(3)(a)	when the <i>FCA</i> is proposing or deciding to remove an <i>agent</i> from the <i>Financial Services Register</i> otherwise than at the request of a <i>payment institution</i> *		<i>Executive procedures</i>
Regulations 112(1) and 112(3)	when the <i>FCA</i> is proposing, or deciding, to impose a financial penalty*		<i>RDC</i>
Regulations 112(1) and 112(3)	when the <i>FCA</i> is proposing, or deciding, to publish a statement that a <i>payment service provider</i> has contravened the <i>Payment Services Regulations</i> *		<i>RDC</i>
Regulations 115(1) and 115(3)	when the <i>FCA</i> is proposing or deciding to exercise its powers to require restitution*		<i>RDC</i>

Payment Services Regulations	Description	Handbook reference	Decision maker
Schedule 6 paragraph 1	when the <i>FCA</i> is proposing or deciding to publish a statement that a relevant person has been knowingly concerned with a contravention of the <i>Payment Services Regulations</i> (Note 2)		<i>RDC</i>
Schedule 6 paragraph 1	when the <i>FCA</i> is proposing or deciding to impose a financial penalty against a relevant person (Note 3)		<i>RDC</i>
Notes:			
(2) The <i>Payment Services Regulations</i> do not require third party rights and access to <i>FCA</i> material when the <i>FCA</i> exercises this power. However, the <i>FCA</i> generally intends to allow for third party rights and access to material when exercising this power.			
(3) The <i>Payment Services Regulations</i> do not require third party rights and access to <i>FCA</i> material when the <i>FCA</i> exercises this power. However, the <i>FCA</i> generally intends to allow for third party rights and access to material when exercising this power.			

The Money Laundering Regulations 2007 The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017	Description	Handbook reference	Decision maker
Regulations 25(6), 25(9) and 25 (10)(b)	when the <i>FCA</i> is exercising its power to give a direction		<i>Executive procedures</i>
Regulation 59(3)(b)	when the <i>FCA</i> is proposing to refuse an application for registration		<i>Executive procedures</i>
Regulation 59(4)(b)	when the <i>FCA</i> is deciding to refuse an application for registration		<i>Executive procedures</i>
Regulations 60(8) and 60(9)	when the <i>FCA</i> is proposing or deciding to suspend or cancel the registration of a person registered under the <i>Money Laundering Regulations</i>		<i>Executive procedures</i>
Regulations 81(2) and 81 (6)	when the <i>FCA</i> is proposing or deciding to impose a civil penalty under regulations 76, 77 or 78*		<i>RDC</i>

Regulated Covered Bonds Regulations 2008	Description	Handbook reference	Decision maker
Regulation 13(4)/(5)(a)	when the <i>FCA</i> is proposing or deciding to refuse an application under regulation 8	<i>RCB 6</i>	<i>Executive procedures</i>
Regulation 20(5)/(6)(a)	when the <i>FCA</i> is proposing or deciding not to approve a material change	<i>RCB 6</i>	<i>Executive procedures</i>

Regulated Covered Bonds Regulations 2008	Description	Handbook reference	Decision maker
Regulation 25(5)/(6)(a)	when the <i>FCA</i> is proposing or deciding not to approve a change of ownership	RCB 6	<i>Executive procedures</i>
Regulation 32(1)(a)/ (2)(a)	before the <i>FCA</i> gives a direction under regulation 30 or when it decides to make the direction	RCB 6	<i>Executive procedures</i>
Regulation 32(1)(b)/(2)(b)	before the <i>FCA</i> removes an <i>issuer</i> from the register of <i>issuers</i> under regulation 31 or when it decides to remove the <i>issuer</i> from the register of <i>issuers</i> *	RCB 6	<i>Executive procedures</i>
Regulation 35(1)/(3)	when the <i>FCA</i> is proposing or deciding to impose a penalty on a person under regulation 34*	RCB 6	<i>RDC</i>

Cross-Border Payments in Euro Regulations 2010 [deleted]
[deleted]

Electronic Money Regulations	Description	Handbook reference	Decision maker
Regulations 9(6) and 15	where the <i>FCA</i> is proposing to refuse an application for authorisation as an <i>authorised electronic money institution</i> , or for registration as a <i>small electronic money institution</i> , or impose a requirement, or refuse to vary an authorisation or registration		<i>Executive procedures</i>
Regulations 9(7)(a) and 15	when the <i>FCA</i> is deciding to refuse an application for authorisation as an <i>authorised electronic money institution</i> , or for registration as a <i>small electronic money institution</i> , or impose a requirement or refuse to vary an authorisation or registration		<i>Executive procedures</i>
Regulations 10(4), 10(5)(a) and 15	when the <i>FCA</i> is proposing or deciding to either cancel an <i>authorised electronic money institution's</i> authorisation, or to cancel a <i>small electronic money institution's</i> registration otherwise than at that institution's own request *		<i>Executive procedures</i>
Regulations 11(6), 11(9), 11(10)(b) and 15	when the <i>FCA</i> is exercising its powers to vary an <i>electronic money institution's</i> authorisation or vary a <i>small electronic money institution's</i> registration on its own initiative		<i>Executive procedures</i>
Regulation 29(2)	[deleted]		
Regulation 29(3)(a)	[deleted]		
Regulation 29(2) and Regulation 29(3)(a)	[deleted]		

Electronic Money Regulations	Description	Handbook reference	Decision maker
Regulation 34(9)	when the <i>FCA</i> is proposing to refuse an application for registration as an <i>agent</i>		<i>Executive procedures</i>
Regulation 34(10)(a)	when the <i>FCA</i> is deciding to refuse an application for registration as an <i>agent</i>		<i>Executive procedures</i>
Regulations 35(2) and 35(3)(a)	when the <i>FCA</i> is proposing or deciding to remove an <i>agent</i> from the <i>Financial Services Register</i> otherwise than at the request of the <i>electronic money institution</i> *		<i>Executive procedures</i>
Regulations 53(1) and 53(3)	when the <i>FCA</i> is proposing, or deciding, to publish a statement that an <i>electronic money issuer</i> has contravened the <i>Electronic Money Regulations</i> *		<i>RDC</i>
Regulations 53(1) and 53(3)	when the <i>FCA</i> is proposing or deciding, to impose a financial penalty *		<i>RDC</i>
Regulations 53(1) and 53(3)	When the <i>FCA</i> is proposing or deciding to suspend the authorisation of an <i>authorised electronic money institution</i> or registration of a <i>small electronic money institution</i> , or to limit or otherwise restrict the carrying on of <i>electronic money</i> issuance or <i>payment services</i> business by an <i>electronic money institution</i> *		<i>RDC</i>
Regulations 56(1) and 56(3)	when the <i>FCA</i> is proposing or deciding to exercise its powers to require restitution *		<i>RDC</i>
Schedule 3, paragraph 1	when the <i>FCA</i> is proposing or deciding to publish a statement that a relevant person has been knowingly concerned with a contravention of the <i>Electronic Money Regulations</i> (Note 2)		<i>RDC</i>
Schedule 3, paragraph 1	when the <i>FCA</i> is proposing or deciding to impose a financial penalty against a relevant person (Note 2)		<i>RDC</i>
Notes:			
(1) [deleted]			
(2) The <i>Electronic Money Regulations</i> do not require third party rights and access to <i>FCA</i> material when the <i>FCA</i> exercises this power. However, the <i>FCA</i> generally intends to allow for third party rights and access to material when exercising this power.			
Recognised Auction Platforms Regulations 2011	Description	Handbook reference	Decision maker
Regulation 5A	where the <i>FCA</i> is proposing or deciding to publish a statement censuring a <i>RAP</i> , or to impose a financial penalty on a <i>RAP</i>	REC 2A.4	<i>RDC</i>

Alternative Investment Fund Managers Regulations 2013	Description	Handbook reference	Decision maker
Regulation 13(1)	where the <i>FCA</i> proposes to refuse an application for entry on the register of <i>small registered UK AIFMs</i>		<i>Executive procedures</i>
Regulation 13(2)(a), article 14b of the <i>RVECA regulation</i> and article 15b of the <i>SEF regulation</i>	where the <i>FCA</i> decides to refuse an application for entry on the register of <i>small registered UK AIFMs</i>		<i>Executive procedures</i>
Regulation 18(1)	where the <i>FCA</i> proposes to revoke the registration of a <i>small registered UK AIFM</i> including, where applicable, its registration as a <i>SEF manager</i> or <i>RVECA manager</i>		<i>Executive procedures</i>
Regulation 18(2)(a)	where the <i>FCA</i> decides to revoke the registration of a <i>small registered UK AIFM</i> including where applicable its registration as a <i>SEF manager</i> or <i>RVECA manager</i>		<i>Executive procedures</i>
Regulation 23B(1)	where the <i>FCA</i> proposes to refuse an application made by a <i>UK AIF</i> for authorisation as a <i>UK LTIF</i>		<i>Executive procedures</i>
Regulation 23B(2)(a)	where the <i>FCA</i> decides to refuse an application made by a <i>UK AIF</i> for authorisation as a <i>UK LTIF</i>		<i>Executive procedures</i>
Regulation 23C(1)	where the <i>FCA</i> proposes to revoke the authorisation of a <i>UK LTIF</i>		<i>Executive procedures</i>
Regulation 23C(2)(a)	where the <i>FCA</i> decides to revoke the authorisation of a <i>UK LTIF</i>		<i>Executive procedures</i>
Regulation 23E(1)	where the <i>FCA</i> proposes to refuse an application for registration as a <i>qualifying social entrepreneurship fund</i> or a <i>qualifying venture capital fund</i>		<i>Executive procedures</i>
Regulation 23E(2)(a)	where the <i>FCA</i> decides to refuse an application for registration as a <i>qualifying social entrepreneurship fund</i> or a		<i>Executive procedures</i>

Alternative Investment Fund Managers Regulations 2013	Description	Handbook reference	Decision maker
Regulation 23F(1)	<i>qualifying venture capital fund</i> where the <i>FCA</i> proposes to revoke the registration of a <i>qualifying social entrepreneurship fund</i> or a <i>qualifying venture capital fund</i>		<i>Executive procedures</i>
Regulation 23F(2)(a)	where the <i>FCA</i> decides to revoke the registration of a <i>qualifying social entrepreneurship fund</i> or a <i>qualifying venture capital fund</i>		<i>Executive procedures</i>
Regulation 23H(1)	where the <i>FCA</i> proposes to refuse an application for authorisation as a money market fund		<i>Executive procedures</i>
Regulation 23H(2)(a)	where the <i>FCA</i> decides to refuse an application for authorisation as a money market fund		<i>Executive procedures</i>
Regulation 23I(1)	where the <i>FCA</i> proposes to revoke the authorisation of a money market fund		<i>Executive procedures</i>
Regulation 23I(2)(a)	where the <i>FCA</i> decides to revoke the authorisation of a money market fund		<i>Executive procedures</i>
Regulation 25(2)	where the <i>FCA</i> proposes to disqualify an <i>external valuer</i>		<i>RDC</i>
Regulation 25(3)(a)	where the <i>FCA</i> decides to disqualify an <i>external valuer</i>		<i>RDC</i>
Regulation 27(2)	where the <i>FCA</i> proposes to revoke approval given to a <i>full-scope UK AIFM</i> for the delegation of functions of portfolio or risk management		<i>Executive procedures</i>
Regulation 27(3)(a)	where the <i>FCA</i> decides to revoke approval given to a <i>full-scope UK AIFM</i> for the delegation of functions of portfolio management or risk management		<i>Executive procedures</i>

Alternative Investment Fund Managers Regulations 2013	Description	Handbook reference	Decision maker
Regulation 56	where the <i>FCA</i> is proposing to revoke a <i>full-scope UK AIFM's</i> approval to <i>market</i> an <i>AIF</i> under regulation 54		<i>Executive procedures</i>
Regulation 56	where the <i>FCA</i> is deciding to revoke a <i>full-scope UK AIFM's</i> approval to <i>market</i> an <i>AIF</i> under regulation 54		<i>Executive procedures</i>
Regulation 62(2)	where the <i>FCA</i> proposes to revoke an <i>AIFM's</i> entitlement to <i>market</i> an <i>AIF</i>		<i>Executive procedures</i>
Regulation 62(3)	where the <i>FCA</i> decides to revoke the entitlement of an <i>AIFM</i> to <i>market</i> an <i>AIF</i>		<i>Executive procedures</i>
Regulation 71(1)(e)	where the <i>FCA</i> is proposing or deciding to publish a statement that an <i>unauthorised AIFM</i> has contravened the regulations or <i>SEF regulation</i> or <i>RVECA regulation</i>		<i>RDC</i>
Regulation 71(1)(f)	where the <i>FCA</i> is proposing or deciding to impose a financial penalty on an <i>unauthorised AIFM</i> that has contravened the regulations or <i>SEF regulation</i> or <i>RVECA regulation</i>		<i>RDC</i>
Legal Aid, Sentencing and Punishment of Offenders Act 2012 (Referral Fees) Regulations 2013	Description	Handbook reference	Decision maker
Regulation 24(1) and 24(6)	when the <i>FCA</i> is proposing or deciding to exercise its powers to require restitution*		<i>RDC</i>
Regulation 25(1) and 26(1)	when the <i>FCA</i> is proposing or deciding to publish a statement (under regulations 14 or 15) or impose a financial penalty (under regulation 16) or impose a restriction on permission (under regulation 17) or suspend or restrict an approval (under regulation 18)*		<i>RDC</i>

The Financial Services Act 2012 (Consumer Credit) Order 2013	Description	Handbook reference	Decision maker
Article 3(3)	when the <i>FCA</i> is proposing or deciding to take action against an <i>approved person</i> for being knowingly concerned in a contravention of a <i>CCA Requirement</i> by an <i>authorised person</i> , by exercising the disciplinary powers conferred by section 66*		<i>RDC</i>
Article 3(7)	when the <i>FCA</i> is proposing or deciding to publish a statement (under section 205) or impose a financial penalty (under section 206) or suspend a <i>permission</i> or impose a restriction in relation to the carrying on of a <i>regulated activity</i> (under section 206A) for the contravention of a <i>CCA Requirement</i> . This applies in respect of an <i>authorised person</i> , or an <i>unauthorised person</i> to whom section 404C applies*		<i>RDC</i>
Article 3(10)	when the <i>FCA</i> is proposing or deciding to exercise the power under section 384(5) to require a <i>person</i> to pay restitution in relation to the contravention of a <i>CCA Requirement</i> *		<i>RDC</i>
The Co-operative and Community Benefit Societies Act 2014	Description	Handbook reference	Decision maker
Sections 6 and 8	where the <i>FCA</i> gives at least two <i>months'</i> notice of the proposed cancellation or suspension of the registration of a <i>registered society</i>		<i>Executive procedures</i>
Sections 6 to 8	where the <i>FCA</i> is proposing to cancel or suspend the registration of a <i>registered society</i> relying on condition C, D or E in section 5		<i>Executive procedures</i>
Section 123	where the <i>FCA</i> is proposing to petition for		<i>Executive procedures</i>

Section 132	the winding up of a <i>registered society</i> where the <i>FCA</i> is proposing to prosecute a <i>registered society</i>		<i>Executive procedures</i>
The Immigration Act 2014 (Bank Accounts) Regulations 2014			
	Description	Handbook reference	Decision maker
Regulation 24 and 25	where the <i>FCA</i> is proposing or deciding to publish a statement (under regulations 15 or 16) or impose a financial penalty (under regulation 17) or impose a restriction on permission (under regulation 18) or suspend or restrict an approval (under regulation 19)*		<i>RDC</i>
The Mortgage Credit Directive Order 2015			
	Description	Handbook reference	Decision maker
Article 11(1)	when the <i>FCA</i> is proposing to refuse an application for entry on the register or variation of an existing entry on the register		<i>Executive procedures</i>
Article 11(2)	when the <i>FCA</i> is deciding to refuse an application for entry on the register or variation of an existing entry on the register		<i>Executive procedures</i>
Articles 14(1), 14(2), 16(3) and 16(4)	when the <i>FCA</i> is proposing or deciding to revoke or suspend the registration of a registered <i>CBTL firm</i> other than at the firm's request or with the firm's consent*		<i>Executive procedures</i>
Article 23(4)	when the <i>FCA</i> is proposing or deciding to publish a statement (under section 205 of the <i>Act</i>) or impose a financial penalty (under section 206 of the <i>Act</i>)*		<i>RDC</i>
The Small and Medium Sized Business (Credit Information) Regulations 2015			
	Description	Handbook reference	Decision maker
Regulations 39 and 40	when the <i>FCA</i> is proposing or deciding to publish a statement (under		<i>RDC</i>

The Small and Medium Sized Business (Credit Information) Regulations 2015	Description	Handbook reference	Decision maker
	regulation 28), or impose a financial penalty (under regulation 29), or impose a limitation or restriction (under regulation 30), or exercise the power to require restitution (under regulation 32(2)		
Markets in Financial Instruments Regulations 2017	Description	Handbook reference	Decision maker
Paragraphs 12(1)(a) and 13(1)(a) of Schedule 1	when the FCA is proposing or deciding to publish a statement		RDC
Paragraphs 12(1)(b) and 13(1)(b) of Schedule 1	when the FCA is proposing or deciding to impose a penalty		RDC
Paragraph 21(1) and 21(7) of Schedule 1	when the FCA is proposing or deciding to require restitution		RDC
Data Reporting Services Regulations 2024	Description	Handbook reference	Decision maker
Regulations 7(4)(a) and 9(8)(a)	when the FCA is proposing to impose a restriction on the applicant for verification or authorisation as a <i>data reporting services provider</i>		<i>Executive procedures</i>
Regulations 7(5)(b) and 9(9)(b)	when the FCA grants verification or authorisation subject to the imposition of restrictions on the applicant for verification or authorisation as a <i>data reporting services provider</i>		<i>Executive procedures</i>
Regulations 7(4)(b) and 9(8)(b)	when the FCA is proposing to refuse an application for verification or authorisation as a <i>data reporting services provider</i>		<i>Executive procedures</i>
Regulations 7(5)(c) and 9(9)(c)	when the FCA refuses an application for verification or authorisation as a <i>data reporting services provider</i>		<i>Executive procedures</i>

Data Reporting Services Regulations 2024	Description	Handbook reference	Decision maker
Regulations 7(7), 10(4)(a) and 10(5)(b)(i)	when the <i>FCA</i> is proposing or deciding to cancel a verification or the authorisation of a <i>data reporting services provider</i> otherwise than at its request		<i>Executive procedures</i>
Regulations 7(7) and 10(4)(b)	when the <i>FCA</i> is proposing to refuse a request to cancel a verification or authorisation of a <i>data reporting services provider</i>		<i>Executive procedures</i>
Regulations 7(7) and 10(5)(b)(ii)	when the <i>FCA</i> is deciding to refuse a request to cancel a verification authorisation of a <i>data reporting services provider</i>		<i>Executive procedures</i>
Regulations 7(7) and 11(3)	when the <i>FCA</i> is proposing to refuse a request to vary a verification or the authorisation of a <i>data reporting services provider</i>		<i>Executive procedures</i>
Regulations 7(7) and 11(4)	when the <i>FCA</i> is deciding to refuse a request to vary a verification or the authorisation of a <i>data reporting services provider</i>		<i>Executive procedures</i>
Regulations 19(5) and (6)(a)	when the <i>FCA</i> is proposing or deciding to publish a statement by exercising the power conferred by section 312E		<i>RDC</i>
Regulations 19(5) and (6)(a)	when the <i>FCA</i> is proposing or deciding to impose a financial penalty by exercising the power conferred by section 312F		<i>RDC</i>
Regulation 22(1) and 22(7)	when the <i>FCA</i> is proposing or deciding to require restitution		<i>RDC</i>
The Payment Accounts Regulations 2015	Description	Handbook reference	Decision maker
Regulation 34 and Regulation 35(4)(a)	when the <i>FCA</i> is proposing or deciding to publish a statement or impose a financial penalty*		<i>RDC</i>

The Small and Medium Sized Business (Finance Platforms) Regulations 2015			
	Description	Handbook reference	Decision maker
Regulations 36 and 37	when the <i>FCA</i> is proposing or deciding to publish a statement (under regulation 25), or impose a financial penalty (under regulation 26), or impose a limitation or restriction (under regulation 27), or exercise the power to require restitution (under regulation 29(2)).		<i>RDC</i>
The Risk Transformation Regulations 2017			
	Description	Handbook reference	Decision maker
Regulation 22	when the <i>FCA</i> is proposing or deciding to refuse an application to register a <i>protected cell company</i>	Not applicable	<i>Executive procedures</i>
Regulation 28	when the <i>FCA</i> is proposing or deciding to refuse approval of a proposed amendment to a <i>protected cell company's</i> instrument of incorporation	Not applicable	<i>Executive procedures</i>
Packaged Retail and Insurance-based Investment Products Regulations 2017			
	Description	Handbook reference	Decision maker
Regulations 10(1) and 10(4)	when the <i>FCA</i> is proposing or deciding to take action against a <i>person</i> under regulation 6*		<i>RDC</i>
Paragraph 5(7) of Schedule 1	when the <i>FCA</i> is proposing or deciding to exercise the power under section 384(5) of the <i>Act</i> to require a <i>person</i> to pay restitution*		<i>RDC</i>
UK Benchmarks Regulations 2018			
	Description	Handbook reference	Decision maker
Regulation 6(5)	when the <i>FCA</i> is proposing or deciding to refuse an application for the imposition of a requirement under regulation 6 or for the variation or cancellation of a requirement imposed under regulation 6		<i>Executive Procedures</i>

UK Benchmarks Regulations 2018	Description	Handbook reference	Decision maker
Regulations 12(1)(a) and 13(1)(a)	when the <i>FCA</i> is proposing or deciding to publish a statement under regulation 10		<i>RDC</i>
Regulations 12(1)(b) and 13(1)(b)	when the <i>FCA</i> is proposing or deciding to impose a financial penalty under regulation 11		<i>RDC</i>
Regulations 22(1), 22(2) and 22(7)	when the <i>FCA</i> is proposing or deciding to require restitution under regulation 22		<i>RDC</i>

UK Securitisation Regulations	Description	Handbook reference	Decision maker
Regulation 19(1)(a) and 20(1)(a)	when the <i>FCA</i> is proposing or deciding to impose a temporary prohibition relating to management functions under regulation 5		<i>RDC</i>
Regulation 19(1)(b) and 20(1)(b)	when the <i>FCA</i> is proposing or deciding to publish a statement under regulation 7		<i>RDC</i>
Regulation 19(1)(c) and 20(1)(c)	when the <i>FCA</i> is proposing or deciding to impose a financial penalty under regulation 8		<i>RDC</i>
Regulation 19(1)(d) and 20(1)(d)	when the <i>FCA</i> is proposing or deciding to refuse an application under regulation 13		<i>Executive procedures</i>
Regulation 19(1)(e) and 20(1)(e)	when the <i>FCA</i> is proposing or deciding to cancel the authorisation of a third-party verification service otherwise than at its request under regulation 16		<i>Executive procedures</i>
Regulation 19(1)(f) and 20(1)(f)	when the <i>FCA</i> is proposing or deciding to refuse a request to cancel the authorisation of a third-party verification service under regulation 17		<i>Executive procedures</i>
Paragraph 1 of Schedule 1	when the <i>FCA</i> is proposing or deciding to take action against an individual by exercising the disciplinary powers conferred by section 66*, as applied by paragraph 1 of schedule 1		<i>RDC</i>

UK Securitisation Regulations	Description	Handbook reference	Decision maker
Paragraph 4 of Schedule 1	when the <i>FCA</i> is proposing or deciding to publish a statement (under section 205), impose a financial penalty (under section 206), or suspend a permission or impose a restriction in relation to the carrying on of a regulated activity (under section 206A) as applied by paragraph 4 of schedule 1		<i>RDC</i>
Paragraph 6 of Schedule 1	when the <i>FCA</i> is proposing or deciding to require restitution		<i>RDC</i>
Proxy Advisors (Shareholders' Rights) Regulations	Description	Handbook reference	Decision maker
Regulation 11	when the <i>FCA</i> is proposing or deciding to publish a statement under regulation 11		<i>RDC or executive procedures</i>
Regulation 12	when the <i>FCA</i> is proposing or deciding to impose a financial penalty under regulation 12		<i>RDC</i>
Regulation 25	when the <i>FCA</i> is proposing or deciding to require restitution under regulation 25		<i>RDC</i>
Regulation 32	when the <i>FCA</i> is proposing or deciding to remove a <i>proxy advisor</i> from the public list.		<i>Executive procedures</i>
OPBAS Regulations	Description	Handbook reference	Decision maker
Regulation 16	when the <i>FCA</i> is proposing or deciding to publish a statement censuring a <i>self-regulatory organisation</i>		<i>RDC</i>
Regulation 17	when the <i>FCA</i> is proposing to make a recommendation to the Treasury that a <i>self-regulatory organisation</i> is removed from Schedule 1 to the <i>Money Laundering Regulations</i>		<i>Executive procedures</i>
Regulation 17	when the <i>FCA</i> is deciding to recommend to the Treasury that a <i>self-regulatory organisation</i>		<i>Executive procedures</i>

OPBAS Regulations	Description	Handbook reference	Decision maker
	is removed from Schedule 1 to the <i>Money Laundering Regulations</i>		
CRA (EU Exit) Regulations	Description	Handbook reference	Decision maker
Regulation 11(1)(a) and 12(1)(a)	when the <i>FCA</i> is proposing or deciding to impose a penalty under regulation 7		RDC
Regulation 11(1)(b) and 12(1)(b)	when the <i>FCA</i> is proposing or deciding to publish a statement under regulation 10		RDC
Regulations 65(b) and 66(b)	when the <i>FCA</i> is proposing or deciding to impose a financial penalty under regulation 68		RDC
Trade Repositories (EU Exit) Regulations	Description	Handbook reference	Decision maker
Regulations 65(a) and 66(a)	when the <i>FCA</i> is proposing or deciding to publish a statement under regulation 67		RDC
Regulations 65(b) and 66(b)	when the <i>FCA</i> is proposing or deciding to impose a financial penalty under regulation 68		RDC
Securitisation (Amendment) (EU Exit) Regulations	Description	Handbook reference	Decision maker
Regulations 65(a) and 66(a) of the <i>Trade Repositories (EU Exit) Regulations</i> as applied by regulation 15	when the <i>FCA</i> is proposing or deciding to publish a statement under regulation 67 of the <i>Trade Repositories (EU Exit) Regulations</i> as applied by regulation 15		RDC
Regulations 65(b) and 66(b) of the <i>Trade Repositories (EU Exit) Regulations</i> as applied by regulation 15	when the <i>FCA</i> is proposing or deciding to impose a financial penalty under regulation 68 of the <i>Trade Repositories (EU Exit) Regulations</i> as applied by regulation 15		RDC
SFTR (EU Exit) Regulations	Description	Handbook reference	Decision maker
Regulations 26(1)(a) and 27(1)(a)	when the <i>FCA</i> is proposing or deciding to publish a statement under regulation 28		RDC

SFTR (EU Exit) Regulations	Description	Handbook reference	Decision maker
Regulations 26(1)(b) and 27(1)(b)	when the FCA is proposing or deciding to impose a financial penalty under regulation 29		RDC