Decision Procedure and Penalties Manual

Schedule 3 Fees and other required payments

Sch 3.1 G

There are no requirements for fees in DEPP.

Sch 3.2 G

The FCA's power to impose financial penalties is contained in:

Section 63A (Power to impose penalties) of the Act

Section 66 (Disciplinary powers) of the Act

Section 88A (Disciplinary powers: contravention of s.88(3)(c) or (e)) of the Act

Section 89Q (Disciplinary powers: contravention of s.89P(4)(b) or (d)) of the Act

Section 91 (Penalties for breach of Part 6 Rules) of the Act

Section 123 (Power to impose penalties in cases of market abuse) of the Act

section 131G (Power to impose penalty or issue censure) of the Act

Section 143W (Disciplinary powers for non-authorised parent undertakings) of the *Act*.

Section 192K (Power to impose penalty or issue censure) of the Act

Section 206 (Financial penalties) of the Act

Section 249 (Disciplinary measures) of the Act

Section 312F (Financial penalties) of the Act

Section 345 (Disciplinary measures) of the Act

Part III of Schedule 1ZA (The Financial Conduct Authority) to the Act

the Money Laundering Regulations

the Transfer of Funds (Information on the Payer) Regulations 2007 (SI 2007/3298)

the RCB Regulations

the Payment Services Regulations

[deleted]

the OTC derivatives, CCPs and trade repositories regulation

the AIFMD UK regulation

the Referral Fees Regulations

the CCA Order

the Immigration Regulations

the MCD Order

the Small and Medium Sized Business (Credit Information) Regulations

the MiFI Regulations

the UK Benchmarks Regulations 2018

the UK Securitisation Regulations

the DRS Regulations

the Payment Accounts Regulations

the Small and Medium Sized Business (Finance Platforms) Regulations

the Proxy Advisors (Shareholders' Rights) Regulations