

# 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*

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*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*