

Chapter 3

Notification rules for UK recognised bodies

3.21 Criminal offences and civil prohibitions

- 3.21.1 **R** Where a *UK recognised body* has evidence tending to suggest that any *person* has:
- (1) been carrying on any *regulated activity* in the *United Kingdom* in contravention of the *general prohibition*; or
 - (2) been engaged in *market abuse*; or
 - (3) committed a criminal offence under the *Act* or subordinate legislation made under the *Act*; or
 - (4) committed a criminal offence under Part V of the Criminal Justice Act 1993 (Insider dealing); or
 - (5) committed a criminal offence under the *Money Laundering Regulations*;
- it must immediately give the *FCA* notice of that event, and full details of that evidence in writing.
- [**Note:** article 31(2), first sentence (part) and article 54(2), first sentence (part) of *MiFID*. The rest of article 31(2), first sentence (in so far as it relates to *market operators* operating an *MTF* or *OTF*) and article 54(2), first sentence of *MiFID* is implemented by ■ REC 3.25.1 R]