

Supervision

Schedule 4 Powers exercised

Sch 4.1 G

The following powers and related provisions in or under the *Act* have been exercised by the *FCA* to make the *rules* in *SUP*:

Section 59 (Approval for particular arrangements)

Section 138 (General rule-making power)

Section 139(1) and (4) (Miscellaneous ancillary matters)

Section 141 (Insurance business rules)

Section 144 (Price stabilising rules)

Section 145 (Financial promotion rules)

Section 146 (Money laundering rules)

Section 147 (Control of information rules)

Section 149 (Evidential provisions)

Section 150(2) (Actions for damages)

Section 156 (General supplementary powers)

Section 178 (Obligation to notify the Authority: acquisitions of control)

Section 191D (Obligation to notify the Authority: dispositions of control)

Section 238(5) (Restrictions on promotion)

Section 247 (Trust scheme rules)

Section 293 (Notification requirements)

Section 318(1) (Exercise of powers through Council)

Section 340 (Appointment)

Section 341 (Access to books etc.)

Paragraph 17(1) (Fees) of Schedule 1 (The Financial Services Authority)

Regulations 6(1) (FSA rules) and 12 (applications for authorisation) of the *OEIC Regulations*

Article 4(1) of the Financial Services and Markets Act 2000 (Transitional Provisions and Savings) (Rules) Order 2001(SI 2001/1534)

Sch 4.2 G

The following powers and related provisions in or under the *Act* have been exercised by the *FSA* to give the *guidance* in *SUP*:

Section 157(1) (Guidance)

Article 11(1) of the Financial Services and Markets Act 2000 (Transitional Provisions and Savings)(Rules) Order 2001 (SI 2001/1534)

Sch 4.3 G

The following powers and related provisions in or under the *Act* have been exercised by the *FCA* in *SUP* to direct or require:

Section 51 (Applications under this Part)
Section 60 (Applications for approval)
Section 148(3) (Modification or waiver of rules)
Section 182 (Notification)
Section 250(4) and (5) (Modification or waiver of rules)
Section 294 (Modification or waiver of rules)
Section 316 (Direction by Authority)

Regulation 7(3) and (4) (Modification or waiver of FSA rules) of the *OEIC Regulations*

Sch 4.4 G

The following additional powers and related provisions have been exercised by the *FSA* to give the directions and make the *guidance* in *SUP*:

Regulation 82 (Reporting requirements) of the *Payment Services Regulations*
Regulation 93 (Guidance) of the *Payment Services Regulations*
Regulation 49 (Reporting requirements) of the *Electronic Money Regulations*
Regulation 60 (Guidance) of the *Electronic Money Regulations*