

Financial Services: Regulating Investment Business (Longman Commercial)



Here is expert advice on the legal implications of the Financial Services Act 1986 and subsequent amendments for business operations. The impact of both the legislation and case law on each area of operation is explained clearly and thoroughly, identifying problem areas and offering solutions. In 1993 the Large Report recommended a fundamental clarification of the regulatory systems two-tier structure and a changed role for the Securities and Investment Board. Following widespread criticism, the Act has frequently been amended and a large body of case law has built up. This edition takes on board all important developments, includes new SIs regulating advertising, guidance on collective investment schemes and expanded commentary on the FSAs impact on banking. This latest edition includes: a rewritten section on enforcement to take account of a substantial amount of case decisions; a revised chapter on regulation of investment vehicles, including the many changes in pensions and unit trust rules; new treatment of the impact of the EC Investment Services Directive, the Capital Adequacy Directive and the third Life Directive on the UK regulatory framework; clear guidance to the fundamental changes within SROs themselves - such as the establishment of the PIA - and how they work in practice.

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