



HANDBOOK CHECKLIST SUMMARY

April 2013

This checklist summary is a complete list of all the pages which should be in your handbook after insertion of Release 136.

<u>APER</u>	<u>CONRED</u>	<u>GENPRU</u>	<u>MIPRU</u>
<u>BCOBS</u>	<u>CREDS</u>	<u>Glossary</u>	<u>PR</u>
<u>BIPRU</u>	<u>DEPP</u>	<u>ICOBS</u>	<u>PRIN</u>
<u>BSOCS</u>	<u>DISP</u>	<u>INSPRU</u>	<u>PROF</u>
<u>CASS</u>	<u>DTR</u>	<u>IPRU(FSOC)</u>	<u>RCB</u>
<u>CIS</u>	<u>ECO</u>	<u>IPRU(INS)</u>	<u>REC</u>
<u>COAF</u>	<u>ELM</u>	<u>IPRU(INV)</u>	<u>SUP</u>
<u>COBS</u>	<u>FEES</u>	<u>LLD</u>	<u>SYSC</u>
<u>COLL</u>	<u>FINMAR</u>	<u>LR</u>	<u>TC</u>
<u>COMP</u>	<u>FIT</u>	<u>MAR</u>	<u>UPRU</u>
<u>COND</u>	<u>GEN</u>	<u>MCOB</u>	

Please ensure that you have the latest pages by comparing the release number found at the bottom of each page with the release numbers overleaf.

High Level Standards		
Module	Page Number	Release No/Date
Principles for Businesses (PRIN)		
Entire module	All	136
Senior Management Arrangements, Systems and Controls (SYSC)		
Entire module	All	135
Chapter 19	<i>[Deleted]</i>	
Appendix 1	<i>[Deleted]</i>	
Threshold Conditions (COND)		
Entire module	All	136

Statements of Principle and Code of Practice for Approved Persons (APER)		
Entire module	All	136

The Fit and Proper test for Approved Persons (FIT)		
Entire module	All	136

Financial Stability and Market Confidence (FINMAR)		
Entire module	All	136
FINMAR 3	Deleted	

Training and Competence (TC)		
	Page number	Release
Entire module	All	136
Annexes	<i>Deleted</i>	
Derivations and Destinations	<i>Deleted</i>	

Fees manual (FEES)		
	Page number	Release
Entire module	All	136

General provisions (GEN)		
	Page number	Release
Entire module	All	136
Ch 2: Annex 2	<i>Deleted</i>	
Chapter 3	<i>Moved to FEES</i>	

Prudential Standards		
Module	Page Number	Release No/Date
Interim Prudential sourcebook (PRU)		
Contents	<i>Deleted</i>	
Chapters 1-8	<i>Deleted</i>	
Chapter 9	Moved to MIPRU	
Annex 1	<i>Deleted</i>	
TP	<i>Deleted</i>	
Schedules 1-6	<i>Deleted</i>	
General Prudential sourcebook (GENPRU)		
Entire module	All	136
Prudential sourcebook for Banks, Building Societies and Investment Firms (BIPRU)		
Entire module	All	136
TP17	<i>[deleted]</i>	
TP18	<i>[deleted]</i>	
TP19	<i>[deleted]</i>	
Prudential sourcebook for Insurers (INSPRU)		
Entire module	All	136
Annex 1	<i>[Deleted]</i>	
Prudential sourcebook for Mortgage and Home Finance Firms, and Insurance Intermediaries (MIPRU)		
Entire module	All	136
Prudential sourcebook for UCITS Firms (UPRU)		
Entire module	All	136
Interim Prudential sourcebook for banks (IPRU(BANK))		
<i>Deleted – last in-force 31/10/2010</i>		
Interim Prudential sourcebook for building societies (IPRU(BSOC))		
<i>Deleted – last in-force 30/09/2010</i>		

Interim Prudential sourcebook for friendly societies (IPRU(FSOC))		
Entire module	All	136
Annex A to Appendix 4		deleted
Guidance on Relationships with Controlled Bodies		Deleted
Annex 8		deleted

Interim Prudential sourcebook for insurers (IPRU(INS))		
Entire module	All	136
Purpose		deleted
Chapter 2		deleted
Chapter 4		deleted
Chapter 5		deleted
Chapter 6		deleted
Chapter 7		deleted
Appendix 2.1		deleted
Appendix 2.2		deleted
Appendix 2.3		deleted
Appendix 3.1		deleted
Appendix 3.2		deleted
Appendix 4.1		deleted
Appendix 4.2		deleted
Appendix 5.1		deleted
Appendix 6.1		deleted
Appendix 6.2		deleted
Interim Prudential sourcebook for investment businesses (IPRU(INV))		
Entire module	All	136
Chapter 7	Moved to UPRU	
Chapter 10	<i>Deleted</i>	
Appendices	<i>Deleted</i>	
10 Securities and Futures Firms	<i>Deleted</i>	

Business Standards		
Module	Page Number	Release No
Conduct of Business (COB)		
<i>31/10/2007 last date material was in force</i>		
Conduct of Business (COBS)		
Entire module	All	136
Insurance: Conduct of Business (ICOB)		
<i>05/01/2008 last date material was in force</i>		
Insurance: Conduct of Business (ICOBS)		
Entire module	All	136
Mortgage: Conduct of Business (MCOB)		
Entire module	All	136
Annex 1	<i>Deleted</i>	
Annex 2	<i>Deleted</i>	
Annex 3	<i>Deleted</i>	
Annex 4	<i>Deleted</i>	
Banking: Conduct of Business (BCOBS)		
Entire module	All	136
Client Assets (CASS)		
Entire module	All	136
Chapter 2	<i>Deleted</i>	
Chapter 4	<i>Deleted</i>	
Market conduct (MAR)		
Entire module	All	136
Chapter 3	<i>Deleted</i>	
Annex 1	<i>Deleted</i>	
Money Laundering (ML)		
<i>30/08/2006 last date material was in force</i>		

Regulatory Processes		
Module	Page Number	Release No
Authorisation (AUTH)		
<i>30/12/2006 last date material was in force</i>		
Supervision (SUP)		
Entire module	All	136
Chapter 10		
Annex 3	<i>Deleted</i>	
Chapter 11		
Annex 4	<i>Deleted</i>	
Annex 5	<i>Deleted</i>	
Chapter 16		
Annex 7	<i>Deleted</i>	
Annex 8	<i>Deleted</i>	
Chapter 17		
Annex 2		<i>Deleted</i>
Annex 3		<i>Deleted</i>
Annex 4		<i>Deleted</i>
Annex 5		<i>Deleted</i>
Chapter 19	<i>Deleted</i>	
Chapter 20	Moved to FEES	
Annex 1	Moved to FEES	
Annex 2	Moved to FEES	
Annex 3	Moved to FEES	
Annex 4	Moved to FEES	

Enforcement (ENF)		
<i>27/08/2007 last date material was in force</i>		
Decision making (DEC)		
<i>27/08/2007 last date material was in force</i>		
Decision Procedure and Penalties Manual (DEPP)		
Entire module	All	136

Redress		
Module	Page Number	Release No
Dispute resolution: Complaints (DISP)		
Entire module	All	136
Chapter 5	<i>Moved to FEES</i>	
Annex 1	<i>Moved to FEES</i>	
Appendix 2	<i>Deleted</i>	
Compensation (COMP)		
Entire module	All	136
Chapter 13	<i>Moved to FEES</i>	
Annex 1	<i>Moved to FEES</i>	
Consumer redress schemes (CONRED)		
Entire module	All	136

Complaints against the FSA (COAF)
<i>31/03/2013 last date material was in force</i>

Specialist sourcebooks		
Module	Page Number	Release No
Collective Investment Schemes (CIS)		
<i>11/02/2007 last date material was in force</i>		
Building Societies Sourcebook (BSOCS)		
Entire module	All	136

Collective Investment Schemes (COLL)		
Entire module	All	136

Credit Unions (CREDS)		
Entire module	All	136
Chapter 12	<i>Deleted</i>	
Chapter 16	<i>Deleted</i>	
Electronic Commerce Directive (ECO)		
<i>31/10/2007 last date material was in force</i>		
Electronic money (ELM)		
<i>29/04/2012 last date material was in force</i>		
Lloyd's (LLD)		
<i>30/12/2006 last date material was in force</i>		
Professional firms (PROF)		
Entire module	All	136
Chapter 6	<i>Deleted</i>	
Annex 1		
Annex 2		

Regulated Covered Bonds (RCB)		
Entire module	All	136

Recognised Investment Exchanges and Recognised Clearing Houses (REC)		
Entire module	All	136
Chapter 7		<i>Deleted</i>

Listing, Prospectus and Disclosure

Module	Page Number	Release No
Listing Rules (LR)		
Entire module	All	136

Prospectus Rules (PR)

Entire module	All	136

Disclosure Rules and Transparency Rules (DTR)

Entire module	All	136

Glossary	
Page Number	Release No
Sections 1, 5 and A-Z	136