



HANDBOOK CHECKLIST SUMMARY

May 2013

This checklist summary is a complete list of all the pages which should be in your handbook after insertion of Release 137.

<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
Chapter 1	1-2	137
Annex 1	1-2	137
Sch 4	1-2	137

Senior Management Arrangements, Systems and Controls (SYSC)		
Entire module	All	136
Chapter 1	1-2	137
TP 1	1-2	137
TP 3	1-2	137
Sch 4	1-2	137

Threshold Conditions (COND)		
Entire module	All	135
Chapter 19	<i>[Deleted]</i>	
Appendix 1	<i>[Deleted]</i>	

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

Financial Stability and Market Confidence (FINMAR)		
Entire module	All	136
FINMAR 3	Deleted	
Sch 4	1-2	137

Fees manual (FEES)		
	Page number	Release
Entire module	All	136
Chapter 3	1-2	137
Chapter 3 Annex 5	1-2	137
Chapter 4	17-18	137
Chapter 5	11-14	137
Chapter 5 Annex 3	7-8	137
Chapter 6	3-6 9-12 21-24	137
Chapter 7	7-8	137
TP 7	1-2	137
Sch 4	1-2	137

Training and Competence (TC)		
	Page number	Release
Entire module	All	136
App 4	5-26	137
Sch 4	1-2	137
Annexes	<i>Deleted</i>	
Derivations and Destinations	<i>Deleted</i>	

The Fit and Proper test for Approved Persons (FIT)		
Entire module	All	136
Sch 4	1-2	137

General provisions (GEN)		
	Page number	Release
Entire module	All	136
Ch 2: Annex 2	<i>Deleted</i>	
Chapter 3	Moved to FEES	
Sch 4	1-6	137

Prudential Standards		
Module	Page Number	Release No
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
Chapter 1	21-22	137
TP 15	1-2	137
Sch 4	1-2	137
Prudential sourcebook for Banks, Building Societies and Investment Firms (BIPRU)		
Entire module	All	136
Chapter 1 Annex 2	1-2	137
Chapter 1 Annex 3	1-2	137
Chapter 3	13-14	137
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Chapter 9	31-32 39-40	137
Chapter 10	3-4 13-16	137
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TP 6	1-2	137
TP 7	1-2	137
TP 8	1-2	137
TP 9	1-2	137
TP 10	1-2	137
TP 12	1-2	137
TP 13	1-2	137
TP 14	1-2	137
TP17	<i>[deleted]</i>	
TP18	<i>[deleted]</i>	
TP 19	<i>[deleted]</i>	
TP 20	1-2	137
TP 22	1-4	137
TP 23	1-2	137
TP 24	1-2	137
TP 25	1-2	137
TP 26	1-2	137
TP 27	1-2	137
TP 28	1-2	137
TP 31	1-2	137
TP 32	1-2	137

Prudential Standards		
Module	Page Number	Release No
TP 34	1-2	137
Sch 4	1-2	137
Prudential sourcebook for Insurers (INSPRU)		
Entire module	All	136
Chapter 1	21-30	137
TP 1	3-6	137
Sch 4	1-2	137
Annex 1	<i>[Deleted]</i>	
Prudential sourcebook for Mortgage and Home Finance Firms, and Insurance Intermediaries (MIPRU)		
Entire module	All	136
TP 1	1-2	137
Sch 4	1-2	137
Prudential sourcebook for UCITS Firms (UPRU)		
Entire module	All	136
Sch 3	1-2	137
Sch 4	1-2	137
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))		
Module	Page Number	Release No
Entire module	All	136
Annex A to Appendix 4	deleted	
Guidance on Relationships with Controlled Bodies	deleted	
Annex 1	1-2	137
Annex 2	1-2	137
Annex 3	1-6	137
Annex 8	deleted	

Interim Prudential sourcebook for insurers (IPRU(INS))		
Module	Page Number	Release No
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	<i>Moved to UPRU</i>	
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
Chapter 4	5-6	137
Chapter 5	7-8	137
Chapter 7	3-4	137
Sch 4	1.2	137
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
Chapter 3	1-2	137
Chapter 3 Annex 1	1-2	137
Chapter 3 Annex 2	1-2	137
Chapter 3 Annex 3	1-2	137
Chapter 5	3-4	137
Sch 4	1-2	137
Mortgage: Conduct of Business (MCOB)		
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Chapter 6	11-14	137
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TP 2	1-2	137
TP 3	1-2	137
Sch 4	1-2	137
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
Chapter 3	5-6	137
Chapter 3 Annex 1	1-2	137
Sch 4	1-2	137
Client Assets (CASS)		
Entire module	All	136
Chapter 1	7-12	137
Chapter 2	<i>Deleted</i>	
Chapter 4	<i>Deleted</i>	
Chapter 7	31-32	137
Sch 4	1-2	137
Market conduct (MAR)		
Entire module	All	136
Chapter 3	<i>Deleted</i>	
Annex 1	<i>Deleted</i>	

Business Standards		
Module	Page Number	Release No
Sch 4	1-2	137
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 2	5-6	137
Chapter 3	11-12 17-18	137
Chapter 6	27-28	137
Chapter 6 Annex 5	1-2	137
Chapter 8	3-4	137
Chapter 10 Annex 3	<i>Deleted</i>	
Chapter 11	9-10	137
Chapter 11 Annex 4	<i>Deleted</i>	
Chapter 11 Annex 5	<i>Deleted</i>	
Chapter 15	19-22	137
Chapter 16 Annex 7	<i>Deleted</i>	
Chapter 16 Annex 8	<i>Deleted</i>	
Chapter 16 Annex 18A	1-2	137
Chapter 16 Annex 18B	1-2	137
Chapter 16 App 1	1-2	137
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	<i>Moved to FEES</i>	
Annex 1	<i>Moved to FEES</i>	
Annex 2	<i>Moved to FEES</i>	
Annex 3	<i>Moved to FEES</i>	
Annex 4	<i>Moved to FEES</i>	

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
Chapter 2 Annex 2	1-2	137

Redress		
Module	Page Number	Release No
Dispute resolution: Complaints (DISP)		
Entire module	All	137
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
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Chapter 13	<i>Moved to FEES</i>	
TP 1	5-10	137
Sch 4	1-2	137
Annex 1	<i>Moved to FEES</i>	
Consumer redress schemes (CONRED)		
Entire module	All	136
Chapter 2	1-2	137
Chapter 2 Annex 2	1-2	137
Sch 4	1-2	137

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
Sch 4	1-2	137
Sch 5	1-2	137

Collective Investment Schemes (COLL)		
Entire module	All	136
Chapter 5	5-8	137
Sch 4	1-2	137

Credit Unions (CREDS)		
Entire module	All	136
Sch 4	1-2	137
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 Annex 1 Annex 2	<i>Deleted</i>	
Sch 4	1-2	137

Regulated Covered Bonds (RCB)		
Entire module	All	136
Sch 4	1-2	137

Recognised Investment Exchanges and Recognised Clearing Houses (REC)		
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Chapter 2	15-16	137
Chapter 7	<i>Deleted</i>	

Listing, Prospectus and Disclosure

Module	Page Number	Release No
Listing Rules (LR)		
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Chapter 18	5-6	137
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Sch 4	1-2	137

Prospectus Rules (PR)

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Sch 4	1-2	137

Disclosure Rules and Transparency Rules (DTR)

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Chapter 4	1-2	137

Glossary	
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Sections 1, 5 and A-Z	136
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R7 – R34	137