

Release Handbook Summary

Release 128

This release contains pages to be inserted in to your paper version of the Handbook in order to bring it up to date. These changes came into force between 7th July 2012 and 6th August 2012.

Please note that you will only receive updated pages to Handbook modules that you have subscribed to when there are changes to those modules. Therefore, there will be some months when you may not receive any updated release pages. If you have a query regarding your modules please see the Instruments listed by module on the FSA website. A checklist, detailing which release number last updated pages within the Handbook hardcopy, is available. To view this, please visit <http://www.fsa.gov.uk/library/policy/handbook/releases>, choose the most recent release and click the link “Handbook checklist summary” on the right-hand side of the page. Please remove existing pages and insert the new pages into your Handbook as follows:

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
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GLOSSARY (last updated in Release 127)							
A		A23 – A24	1	A23 – A24	1	26 July 2012	27 July 2012
B		B3 – B10	4	B3 – B10	4	26 July 2012	27 July 2012

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C		C21 – C22	1	C21 – C22	1	26 July 2012	27 July 2012
D		D5 – D18	7	D5 – D18	7	26 July 2012	27 July 2012
E		E1 – E22	11	E1 – E22	11	26 July 2012	27 July 2012
G		G3 – G8	3	G3 – G8	3	26 July 2012	27 July 2012
H		H5 – H8	2	H5 – H8	2	26 July 2012	27 July 2012
I		I21 – I24	2	I21 – I24	2	26 July 2012	27 July 2012
M		M5 – M24	10	M5 – M26	11	26 July 2012	27 July 2012
N		N9 – N12	2	N9 – N12	2	26 July 2012	27 July 2012
P		P3 – P4 P11 – P12 P19 – P32	1 1 7	P3 – P4 P11 – P12 P19 – P32	1 1 7	26 July 2012	27 July 2012
R		R5 – R32	14	R5 – R32	14	26 July 2012	27 July 2012
S		S5 – S8 S19 – S22 S27 – S30	2 2 2	S5 – S8 S19 – S22 S27 – S30	2 2 2	26 July 2012	27 July 2012 1 Aug 2012
T		T9 – T10	1	T9 – T10	1	26 July 2012	27 July 2012
HIGH LEVEL STANDARDS							
PRIN: PRINCIPLES FOR BUSINESS (last updated in Release 127)							

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Chapter 3	3.1.1	1 – 4	2	1 – 4	2	26 July 2012	27 July 2012
SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROLS (last updated in Release 125)							
Chapter 1	1.4.1, 1.4.1A [new], 1.4.1B [new]	5 – 6	1	5 – 6	1	26 July 2012	27 July 2012
	Annex 1	5 – 22	9	5 – 22	9	26 July 2012	27 July 2012
APER: STATEMENTS OF PRINCIPLE AND CODE OF PRACTICE FOR APPROVED PERSONS (last updated in Release 109)							
Chapter 2	2.1.1A	1 – 2	1	1 – 2	1	26 July 2012	27 July 2012
TC: TRAINING AND COMPETENCE (last updated in Release 127)							
Appendix 1		Entire App: 1 – 4	2	Entire App: 1 – 4	2	26 July 2012	27 July 2012
FEES: FEES MANUAL (last updated in Release 127)							
Chapter 1	1.1.2	3 – 4	1	3 – 4	1	26 July 2012	27 July 2012
Chapter 3	Annex 1	Entire Ann: 1 – 4	2	Entire Ann: 1 – 4	2	26 July 2012	27 July 2012
Chapter 4	Annex 1	3 – 6 17 – 22	2 3	3 – 6 17 – 22	2 3	26 July 2012	27 July 2012
	Annex 2	3 – 12	5	3 – 12	5	26 July 2012	27 July 2012
Chapter 6	Annex 3	7 – 8	1	7 – 8	1	26 July 2012	27 July 2012

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PRUDENTIAL STANDARDS							
IPRU-INV: THE INTERIM PRUDENTIAL SOURCEBOOK FOR INVESTMENT BUSINESSES (last updated in Release 116)							
Chapter 3	Entire chapter	Entire Ch: 1 – 64	32	Entire Ch: 1 – 60	30	26 July 2012	27 July 2012
	Appendix 1	Entire App: 1 – 26	13	Entire App: 1 – 22	11	26 July 2012	27 July 2012
Chapter 8		Entire Ch: 1 – 8	4	Entire Ch: 1 – 10	5	8 Dec 2011	8 Jan 2012
BUSINESS STANDARDS							
COBS: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 127)							
Chapter 1	1.1.1C [new]	Entire Ch: 1 – 4	2	Entire Ch: 1 – 4	2	26 July 2012	27 July 2012
CASS: CLIENT ASSETS (last updated in Release 127)							
Chapter 1	1.4.9 – 1.4.14 [new]	7 – 10	2	7 – 12	3	26 July 2012	27 July 2012
Chapter 6	6.2.3A [new]	9 – 20	6	9 – 20	6	26 July 2012	27 July 2012
Schedule 1		Entire Sch: 1 – 4	2	Entire Sch: 1 – 4	2	26 July 2012	27 July 2012

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MAR: MARKET CONDUCT (last updated in Release 127)							
Chapter 1	1.1.1A [new]; 1.1.2; 1.1.5; 1.2.2A [new]; 1.2.5; 1.2.7A [new]; 1.2.12; 1.2.15A [new]; 1.2.16; 1.2.20, 1.2.21; 1.3.2; 1.3.6; 1.3.12, 1.3.13; 1.3.15; 1.4.4A [new]; 1.4.5; 1.4.6; 1.5.1A [new]; 1.5.2; 1.5.7; 1.6.1A [new]; 1.6.2; 1.6.4 – 1.6.7; 1.6.9; 1.7.1A [new]; 1.7.2, 1.7.3; 1.9.1A [new]; 1.9.4, 1.9.5	Entire Ch: 1 – 40	20	Entire Ch: 1 – 44	22	26 July 2012	27 July 2012 1 Aug 2012
REGULATORY PROCESSES							
SUP: SUPERVISION (last updated in Release 127)							
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Chapter 10	10.1.9, 10.1.13, 10.1.27 [new], 10.6.2A [new], 10.6.3, 10.8.-1 [new], 10.10.7A, 10.10.7B	3 – 8 15 – 20 23 – 44	3 3 11	3 – 8 15 – 20 23 – 46	3 3 12	26 July 2012	27 July 2012
Chapter 12	12.2.7	5 – 10	3	5 – 10	3	26 July 2012	27 July 2012
Chapter 13	13.1.3A [new], 13.5.1, 13.5.1AA [new], 13.5.1B, 13.5.2, 13.5.2-A [new], 13.5.2A, 13.5.5	1 – 4 13 – 28	2 8	1 – 4 13 – 30	2 9	26 July 2012	27 July 2012
	Annex 7 [new annex] **	[new]	[new]	Entire Ann: 1 – 2	1	26 July 2012	27 July 2012
Chapter 13A	13A.1.1, 13A.1.5, 13A.2.1, 13A.2.2, 13A.3.1, 13A.3.2, 13A.4.1, 13A.4.5 [new], 13A.4.6 [new], 13A.5.2, 13A.5.3, 13A.5.4, 13A.6.2	1 – 16	8	1 – 16	8	26 July 2012	27 July 2012

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	Annex 4 **	[new]	[new]	Entire Ann: 1 – 2	1	26 July 2012	27 July 2012
Chapter 14	14.1.1, 14.1.1A [new], 14.2.14 [new], 14.5, 14.6.3A [new], 14.6.3B [new], 14.6.4, 14.7	1 – 6 9 – 14	3 3	1 – 6 9 – 14	3 3	26 July 2012	27 July 2012
Chapter 15	15.3.7A [new], 15.3.11	5 – 28	12	5 – 30	13	26 July 2012	27 July 2012
Chapter 16	16.12.1, 16.12.4, 16.12.29A [new]	39 – 40 45 – 50 173 – 178	1 3 3	39 – 40 45 – 50 173 – 178	1 3 3	26 July 2012	27 July 2012
	Annex 32 [new annex] **	[new]	[new]	Entire Ann: 1 – 2	1	26 July 2012	27 July 2012
Appendix 3		1 – 2	1	1 – 2	1	26 July 2012	27 July 2012
REDRESS							
DISP: DISPUTE RESOLUTION: COMPLAINTS (last updated in Release 127)							
Chapter 1	1.1.3, 1.1.5	1 – 6	3	1 – 6	3	26 July 2012	27 July 2012
	Annex 2	Entire Ann: 1 – 6	3	Entire Ann: 1 – 6	3	26 July 2012	27 July 2012
Chapter 2	2.3.1	5 – 6	1	5 – 6	1	26 July 2012	27 July 2012

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SPECIALIST SOURCEBOOKS							
REC: RECOGNISED INVESTMENT EXCHANGES AND RECOGNISED CLEARING HOUSES (last updated in Release 127)							
Chapter 2A	2A.3.2	5 – 6	1	5 – 6	1	26 July 2012	27 July 2012
Chapter 3	3.18.3	33 – 34	1	33 – 34	1	26 July 2012	27 July 2012
Chapter 5	5.2.14	7 – 8	1	7 – 8	1	26 July 2012	27 July 2012

* In addition to pages containing the Handbook paragraph changes listed, we are also issuing replacement pages for certain parts of this chapter following a change in page layout; these pages contain no further textual changes.

** *N.B:* This annex consists of one or more forms. Please see the Handbook Online to view, download and/or complete the most recent version of this form: <http://fsahandbook.info/FSA/usefullinks/forms.jsp>

*** *N.B:* This annex/appendix consists of one or more PDFs. Please see the relevant part of the Handbook Online to view, download and/or complete the most recent version.

