

Release Handbook Summary

Release 130

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 September 2012 and 6th October 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
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
GLOSSARY (last updated in Release 128)							
A		A21 – A26	3	A21 – A26	3	26 May 2011 27 Sept 2012	1 Oct 2012
B		B7 – B8	1	B7 – B8	1	27 Sept 2012	1 Oct 2012

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
C		C3 – C6 C9 – C46	2 18	C3 – C6 C9 – C46	2 18	21 Mar 2012 27 Sept 2012	1 Oct 2012
D		D13 – D14 D17 – D18	1 1	D13 – D14 D17 – D18	1 1	26 May 2011 Minor and non- legal change	1 Oct 2012 6 Oct 2012
E		E15 – E16 E21 – E22	1 1	E15 – E16 E21 – E22	1 1	27 Sept 2012 Minor and non- legal change	1 Oct 2012 6 Oct 2012
F		F5 – F6	1	F5 – F6	1	27 Sept 2012	1 Oct 2012
G		G7 – G8	1	G7 – G8	1	21 Mar 2012	1 Oct 2012
M		M15 – M16 M19 – M26	1 4	M15 – M16 M19 – M26	1 4	27 Sept 2012	1 Oct 2012
N		N7 – N12	3	N7 – N12	3	Minor and non- legal change	6 Oct 2012
P		P9 – P32	12	P9 – P32	12	26 May 2011	1 Oct 2012
Q		Q1 – Q4	2	Q1 – Q4	2	Minor and non- legal change	6 Oct 2012
R		R1 – R32	1	R1 – R32	1	27 Sept 2012	1 Oct 2012
S		S15 – S30	8	S15 – S30	8	Minor and non- legal change	6 Oct 2012
T		T1 – T2	1	T1 – T2	1	27 Sept 2012	1 Oct 2012

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U		U7 – U10	2	U7 – U10	2	Minor and non-legal change	6 Oct 2012
HIGH LEVEL STANDARDS							
SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROLS (last updated in Release 128)							
Chapter 7	7.1.16B [new]	5 – 6	1	5 – 6	1	27 Sept 2012	1 Oct 2012
GEN: GENERAL PROVISIONS (last updated in Release 127)							
Chapter 2	Annex 1	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Sept 2012	1 Oct 2012
Chapter 5	5.1.2	1 – 2	1	1 – 2	1	27 Sept 2012	1 Oct 2012
	Annex 1	1 – 2	1	1 – 2	1	27 Sept 2012	1 Oct 2012
PRUDENTIAL STANDARDS							
GENPRU: GENERAL PRUDENTIAL SOURCEBOOK (last updated in Release 127)							
Chapter 1	1.5.24	41 – 42	1	41 – 42	1	Minor and non-legal change	6 Oct 2012
BIPRU: PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES AND INVESTMENT FIRMS (last updated in Release 127)							
Chapter 6	6.5.5B [new]	17 – 28	6	17 – 28	6	27 Sept 2012	1 Oct 2012

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BUSINESS STANDARDS							
COBS: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 127)							
Chapter 13	13.3.1	5 – 6	1	5 – 6	1	26 May 2011	1 Oct 2012
Chapter 15	15.5.2-3	9 – 10	1	9 – 10	1	26 May 2011	1 Oct 2012
Chapter 19	19.2.2	5 – 6	1	5 – 6	1	21 Mar 2012	1 Oct 2012
TP 2		1 – 8	4	1 – 8	4	22 Sept 2011	1 Oct 2012
ICOB: INSURANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 124)							
TP 1		Entire TP: 1 – 6	3	Entire TP: 1 – 4	2	27 Sept 2012	1 Oct 2012
MCOB: MORTGAGES AND HOME FINANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 127)							
Chapter 3	3.6.3; 3.6.7; 3.6.24; 3.11.5	17 – 26 41 – 42	5 1	17 – 26 41 – 42	5 1	27 Sept 2012	1 Oct 2012
	Annex 1 **	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Sept 2012	1 Oct 2012
Chapter 10	10.2.1	3 – 4	1	3 – 4	1	27 Sept 2012	1 Oct 2012
CASS: CLIENT ASSETS SOURCEBOOK (last updated in Release 129)							
Chapter 10	[new chapter]	[new]	[new]	Entire Ch: 1 – 10	5	21 Mar 2012	1 Oct 2012

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Schedule 1		3 – 4	1	3 – 4	1	21 Mar 2012	1 Oct 2012
Schedule 2		3 – 4	1	3 – 4	1	21 Mar 2012	1 Oct 2012
REGULATORY PROCESSES							
SUP: SUPERVISION (last updated in Release 129)							
Chapter 9	9.2.1; 9.2.4; 9.2.4A	3 – 4	1	3 – 4	1	26 July 2012	30 Sep 2012
Chapter 16	16.3.1-2; 16.3.26; 16.12.5-6	7 – 8 13 – 14 55 – 68	1 1 7	7 – 8 13 – 14 55 – 68	1 1 7	27 Sept 2012	1 Oct 2012
	Annex 18A **	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Sept 2012	1 Oct 2012
	Annex 28A **	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	28 June 2012	29 Sept 2012
	Annex 28B **	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	28 June 2012	29 Sept 2012
Appendix 2	2.1.3 [new]; 2.1.4	1 – 6	3	1 – 6	3	27 Sept 2012	1 Oct 2012
REDRESS							
COMP: COMPENSATION (last updated in Release 129)							
Chapter 3	3.2.1 – 3.2.1A [new]; 3.2.2	3 – 4	1	3 – 4	1	27 Sept 2012	1 Oct 2012
Chapter 4	4.2.2; 4.3.1-2; 4.3.8 [new]	3 – 8	3	3 – 8	3	27 Sept 2012	1 Oct 2012

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Chapter 5	5.3.1A [new]	Entire Ch: 1 – 14	7	Entire Ch: 1 – 14	7	27 Sept 2012	1 Oct 2012
Chapter 6	6.3.1	3 – 6	2	3 – 6	2	27 Sept 2012	1 Oct 2012
Chapter 7*	7.1.3; 7.2.1; 7.2.3 – 7.2.6; 7.3 [new section]; 7.4 [new section]; 7.5 [new section]; 7.6 [new section]	Entire Ch: 1 – 8	4	Entire Ch: 1 – 14	7	27 Sept 2012	1 Oct 2012
Chapter 11	11.2.3A [new]; 11.2.9-10 [new]	3 – 4	1	3 – 6	2	27 Sept 2012	1 Oct 2012
Chapter 12	12.2.10	3 – 14	6	3 – 14	6	27 Sept 2012	1 Oct 2012
Chapter 15	15.1.1-2; 15.1.5-13; 15.1.16-21	Entire Ch: 1 – 8	4	Entire Ch: 1 – 6	3	27 Sept 2012	1 Oct 2012
Chapter 16	16.4.5-6	7 – 10	2	7 – 10	2	27 Sept 2012	1 Oct 2012
TP 1*		Entire TP: 1 – 10	5	Entire TP: 1 – 14	7	27 Sept 2012	1 Oct 2012
SPECIALIST SOURCEBOOKS							
COLL: COLLECTIVE INVESTMENT SCHEMES (last updated in Release 127)							
Chapter 4	4.2.5; 4.6.7	15 – 16 47 – 50	1 2	15 – 16 47 – 50	1 2	27 Sept 2012	1 Oct 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.

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