



## Release Handbook Summary

### Release 104

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 7<sup>th</sup> July 2010 – 6<sup>th</sup> August 2010.

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.

To check which release number last updated pages within the hardcopy handbook please visit [http://www.fsa.gov.uk/pubs/hb-releases/checklist\\_summary.pdf](http://www.fsa.gov.uk/pubs/hb-releases/checklist_summary.pdf).

Please remove existing pages and insert the new pages into your Handbook as follows:

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<b>GLOSSARY (last updated in Release 103)</b>						
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<b>HIGH LEVEL STANDARDS</b>							
<b>PRIN: PRINCIPLES FOR BUSINESSES (last updated in Release 96)</b>							
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<b>SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROL (last updated in Release 102)</b>							
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Transitional Provisions	TP 4 [new]	N/A	N/A	Entire TP: 1 – 2	1	22 Jul 2010	6 Aug 2010
<b>COND: THRESHOLD CONDITIONS (last updated in Release 102)</b>							
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<b>APER: STATEMENTS OF PRINCIPLE AND CODE OF PRACTICE FOR APPROVED PERONS (last updated in Release 103)</b>							
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<b>FINMAR: FINANCIAL STABILITY AND MARKET CONFIDENCE SOURCEBOOK (new module)</b>							
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<b>FEES: FEES MANUAL (last updated in Release 103)</b>							
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<b>PRUDENTIAL STANDARDS</b>							
<b>BIPRU: PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES AND INVESTMENT FIRMS (last updated in Release 98)</b>							
Chapter 12	12.3.9; 12.4.3; 12.6.6; 12.6.6A[new]; 12.6.7; 12.8.5; 12.8.12; 12.8.30	9 – 56	24	9 – 56	24	22 Jul 2010	6 Aug 2010
<b>INSPRU: PRUDENTIAL SOURCEBOOK FOR INSURERS (last updated in Release 97)</b>							
Chapter 5	5.1.4	1 – 2	1	1 – 2	1	22 Jul 2010	6 Aug 2010
<b>UPRU: PRUDENTIAL SOURCEBOOK FOR UCITS FIRMS (last updated in Release 94)</b>							
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<b>BUSINESS STANDARDS</b>							
<b>COBS: CONDUCT OF BUSINESS (last updated in Release 103)</b>							

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<b>CASS: CLIENT ASSETS (last updated in Release 101)</b>							
Chapter 7	7.7.2	27 – 28	1	27 – 28	1	22 Jul 2010	6 Aug 2010
<b>MAR: MARKET CONDUCT (last updated in Release 96)</b>							
Chapter 1	1.9.2A – 1.9.2D	35 – 42	4	35 – 40	3	22 Jul 2010	6 Aug 2010
<b>REGULATORY PROCESSES</b>							
<b>SUP: SUPERVISION (last updated in Release 102)</b>							
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Chapter 6	6.3.28; 6.4.2	13 – 18	3	13 – 18	3	22 Jul 2010	6 Aug 2010
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	Annex 27A [new]**	N/A	N/A	Entire Ann: 1 – 2	1	22 Jul 2010	23 Jul 2010
	Annex 27B [new]**	N/A	N/A	Entire Ann: 1 – 2	1	22 Jul 2010	23 Jul 2010
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<b>DEPP: DECISION PROCEDURE AND PENALTIES MANUAL (last updated in Release 99)</b>							
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Chapter 2	Annex 1	Entire Ann: 1 – 10	5	Entire Ann: 1 – 14	7	22 Jul 2010	6 Aug 2010
Chapter 6	6.1.1; 6.2.9; 6.2.9A [new]; 6.5B; 6.5B.2; 6.5B.3	1 – 38	19	1 – 40	20	22 Jul 2010	6 Aug 2010
Chapter 6A	[new]	N/A	N/A	1 – 8	4	22 Jul 2010	6 Aug 2010
Schedule 4		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	22 Jul 2010	6 Aug 2010
<b>REDRESS</b>							
<b>COMP: COMPENSATION (last updated in Release 100)</b>							
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<b>SPECIALIST SOURCEBOOKS</b>							
<b>CRED: CREDIT UNIONS (last updated in Release 95)</b>							
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<b>ELM: ELECTRONIC MONEY (last updated in Release 96)</b>							
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Chapter 8	8.7.9	15 – 16	1	15 – 16	1	22 Jul 2010	6 Aug 2010
<b>PROF: PROFESSIONAL FIRMS (last updated in Release 94)</b>							
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<b>REC: RECOGNISED INVESTMENT EXCHANGES AND RECOGNISED CLEARING HOUSES (last updated in Release 96)</b>							
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\* 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>