



Release Handbook Summary

Release 115

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 June 2011 – 6th July 2011.

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/Pages/Library/Policy/Handbook/Releases/index.shtml>, choose the most recent release and click the link “Checklist Summary” on the right-hand side of the page. Please remove existing pages and insert the new pages into your Handbook as follows:

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GLOSSARY (last updated in Release 114)							
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K		K1 – K2	1	K1 – K2	1	1 July 2011	1 July 2011
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U		U1 – U8	4	U1 – U10	5	1 July 2011	1 July 2011
W		W1 – W4	2	W1 – W4	2	23 June 2011	1 July 2011
HIGH LEVEL STANDARDS							
SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROL (last updated in Release 113)							
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Chapter 7	7.1.2B [new]	Entire Ch: 1 – 6	3	Entire Ch: 1 – 6	3	1 July 2011	1 July 2011
Chapter 8	8.1.13 [new]; 8.1.14 [new]	5 – 10	3	5 – 11	4	1 July 2011	1 July 2011
Chapter 9	9.1.1	Entire Ch: 1 – 4	2	Entire Ch: 1 – 4	2	1 July 2011	1 July 2011
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TC: TRAINING AND COMPETENCE (last updated in Release 112)							
Chapter 2	2.1.15 – 33 [new]	5 – 16	6	5 – 16	6	19 Jan 2011	1 July 2011
Schedule 2		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	19 Jan 2011	1 July 2011

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GEN: GENERAL PROVISIONS (last updated in Release 113)							
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FEES: FEES MANUAL (last updated in Release 114)							
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Chapter 2	2.1.1; 2.1.1A [new]; 2.1.4; 2.1.5; 2.2.1 – 4; 2.3.1 – 2	1 – 6	3	1 – 6	3	22 June 2011 23 June 2011	1 July 2011
Chapter 5	5.1.1; 5.1.1-A [new]; 5.1.1A; 5.1.1B [new]; 5.1.2; 5.1.2A [new]; 5.1.3; 5.1.3A; 5.1.4; 5.1.6; 5.1.6A [new]; 5.3.7; 5.5 [deleted]; 5.5A [new]; 5.7.2; 5.7.2A; 5.7.3; 5.9.1; 5.9.1A; 5.9.2; 5.9.3	Entire Ch: 1 – 18	9	Entire Ch: 1 – 22	11	22 June 2011 23 June 2011	1 July 2011
PRUDENTIAL STANDARDS							
GENPRU: GENERAL PRUDENTIAL SOURCEBOOK (last updated in Release 113)							
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UPRU: PRUDENTIAL SOURCEBOOK FOR UCITS FIRMS (last updated in Release 104)							
Chapter 1	1.1.3; 1.2.1	Entire Ch: 1 – 4	2	Entire Ch: 1 – 3	2	1 July 2011	1 July 2011

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BIPRU: PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES AND INVESTMENT FIRMS (last updated in Release 113)							
Transitional Provisions	TP 29	1 – 2	1	1 – 2	1	23 June 2011	1 July 2011
BUSINESS STANDARDS							
COBS: CONDUCT OF BUSINESS (last updated in Release 113)							
Chapter 1	Annex 1	7 – 8	1	7 – 8	1	1 July 2011	1 July 2011
Chapter 2	2.1.1; 2.3.1; 2.3.1A [new]; 2.3.2; 2.3.2A [new]	Entire Ch: 1 – 14	7	Entire Ch: 1 – 15	8	1 July 2011	1 July 2011
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Chapter 11	11.1.5; 11.2.1; 11.2.1A [new]; 11.2.2; 11.2.5A [new]; 11.2.6; 11.2.14; 11.2.23A [new]; 11.2.25; 11.2.27; 11.2.28; 11.2.29; 11.2.30; 11.2.32; 11.2.32A [new]; 11.2.34; 11.3.1; 11.3.2; 11.3.4; 11.3.5; 11.3.7 – 10; 11.3.13; 11.7.1; 11.7.4 – 6; 11.7.6	Entire Ch: 1 – 33	17	Entire Ch: 1 – 36	18	1 July 2011	1 July 2011
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Chapter 16	16.2.1	3 – 14	6	3 – 16	7	1 July 2011	1 July 2011
Chapter 18	18.5.2A [new]; 18.9.1	13 – 22 33 – 34	6	13 – 22 33 – 34	6	1 July 2011	1 July 2011
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REGULATORY PROCESSES							
SUP: SUPERVISION (last updated in Release 114)							
Chapter 2	2.4.1	9 – 10	1	9 – 10	1	23 June 2011	1 July 2011
Chapter 11	11.8.1	19 – 20	1	19 – 20	1	1 July 2011	1 July 2011
Chapter 13	13.1.3; 13.3.2; 13.3.5; 13.3.6; 13.3.8 [new]; 13.4.4; 13.4.6; 13.4.7 [new]; 13.5.2	1 – 2 5 – 28	13	1 – 2 5 – 28	13	1 July 2011	1 July 2011
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	Annex 1	Entire Ann: 1 – 10	5	Entire Ann: 1 – 12	6	1 July 2011	1 July 2011
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	Annex 3 [new]	N/a	N/a	Entire Ann: 1 – 2	1	1 July 2011	1 July 2011
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DEPP: DECISION PROCEDURE AND PENALTIES MANUAL (last updated in Release 113)							
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REDRESS							
DISP: DISPUTE RESOLUTION: COMPLAINTS (last updated in Release 113)							
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Chapter 1	1.1.1; 1.1.3; 1.1.10E [new]; 1.1.10F [new]; 1.1.12; 1.2.1; 1.2.3; 1.2.5A [new]; 1.3.1; 1.3.1A [new]; 1.3.1B [new]; 1.5.1; 1.9.1	Entire Ch: 1 – 30	15	Entire Ch: 1 – 32	16	1 July 2011	1 July 2011
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COMP: COMPENSATION SOURCEBOOK (last updated in Release 110)							
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SPECIALIST SOURCEBOOKS							
COLL: COLLECTIVE INVESTMENT SCHEMES (last updated in Release 111)							
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Chapter 3	3.2.6; 3.2.8	5 – 8	2	5 – 8	2	1 July 2011	1 July 2011
Chapter 4	4.2.3; 4.2.3A [new]; 4.2.5; 4.3.6A [new]; 4.3.7; 4.3.10 – 13 [new]; 4.5.5 – 9; 4.5.14; 4.5.15 [new]; 4.6.8; 4.7 [new]; 4.8 [new]	3 – 56	27	3 – 66	32	23 June 2011 1 July 2011	1 July 2011

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Schedule 2		Entire Sch: 1 – 2	1	Entire Sch: 1 – 4	2	1 July 2011	1 July 2011
RCB: REGULATED COVERED BONDS (last updated in Release 99)							
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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.

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