



## Release Handbook Summary

### Release 116

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 2011 – 6<sup>th</sup> August 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:

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
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<b>GLOSSARY (last updated in Release 115)</b>							
A		A9 – A26	9	A9 – A26	9	24 Mar 2011	19 Jul 2011

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C		C7 – C46	20	C7 – C46	20	20 Jul 2011 28 Jul 2011	01 Aug 2011
D		D17 – D18	1	D17 – D18	1	24 Mar 2011	19 Jul 2011
H		H1 – H4	2	H1 – H4	2	28 Jul 2011	01 Aug 2011
I		I3 – I26	12	I3 – I26	12	24 Mar 2011	19 Jul 2011
R		R5 – R30	13	R5 – R30	13	20 Jul 2011 28 Jul 2011	01 Aug 2011
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U		U7 – U10	2	U7 – U10	2	24 Mar 2011	19 Jul 2011
<b>HIGH LEVEL STANDARDS</b>							
<b>SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROL (last updated in Release 115)</b>							
Chapter 7	7.1.16A [new]	5 – 6	1	5 – 6	1	28 Jul 2011	01 Aug 2011

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<b>PRUDENTIAL STANDARDS</b>							
<b>GENPRU: GENERAL PRUDENTIAL SOURCEBOOK (last updated in Release 115)</b>							
Chapter 2	2.2.209; 2.2.216A; 2.2.221	81 – 102	11	81 – 104	12	28 Jul 2011	01 Aug 2011
	Annex 2	Entire Ann: 1 – 4	2	Entire Ann: 1 – 4	2	28 Jul 2011	01 Aug 2011
	Annex 3	Entire Ann: 1 – 4	2	Entire Ann: 1 – 4	2	28 Jul 2011	01 Aug 2011
<b>BIPRU: PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES AND INVESTMENT FIRMS (last updated in Release 115)</b>							
Chapter 6	6.3.16; 6.4.1A [new]; 6.5.5A [new]	9 – 28	10	9 – 28	10	28 Jul 2011	01 Aug 2011
Chapter 8	8.6.21 [new]	21 – 36	8	21 – 36	8	28 Jul 2011	01 Aug 2011
Chapter 10	10.3.8	11 – 14	2	11 – 14	2	28 Jul 2011	01 Aug 2011
<b>IPRU(INV): INTERIM PRUDENTIAL SOURCEBOOK FOR INVESTMENT BUSINESS (last updated in Release 103)</b>							
Transitional Provisions	TP 1	Entire TP: 1 – 2	1	Entire TP: 1 – 2	1	28 Jul 2011	01 Aug 2011

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<b>BUSINESS STANDARDS</b>							
<b>COBS: CONDUCT OF BUSINESS (last updated in Release 115)</b>							
Chapter 9	9.4.10	9 – 18	5	9 – 18	5	24 Mar 2011	19 Jul 2011
Chapter 13	Annex 2	3 – 10	4	3 – 10	4	24 Mar 2011	19 Jul 2011
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Chapter 14	14.2.1	3 – 4	1	3 – 4	1	24 Mar 2011	19 Jul 2011
<b>CASS: CLIENT ASSETS (last updated in Release 114)</b>							
Chapter 6	6.3.6	11 – 18	4	11 – 20	5	Minor and non-legal change	Minor and non-legal change
<b>REGULATORY PROCESSES</b>							
<b>SUP: SUPERVISION (last updated in Release 115)</b>							
Chapter 12	12.4.5A	13 – 14	1	13 – 14	1	Minor and non-legal change	Minor and non-legal change
Chapter 16	16.12.5; 16.12.22A	55 – 58 139 – 140	3	55 – 58 139 – 140	3	Minor and non-legal change	Minor and non-legal change

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<b>DEPP: DECISION PROCEDURE AND PENALTIES MANUAL (last updated in Release 115)</b>							
Chapter 2	Annex 1	3 – 6	2	3 – 6	2	28 Jul 2011	01 Aug 2011
<b>REDRESS</b>							
<b>DISP: DISPUTE RESOLUTION: COMPLAINTS (last updated in Release 115)</b>							
Chapter 1	1.1.10E; 1.1.11A [new]	3 – 8	3	3 – 8	3	28 Jul 2011	01 Aug 2011
	Annex 2	1 – 2	1	1 – 2	1	Minor and non-legal change	Minor and non-legal change
Chapter 2	2.3.2C [new]; 2.6.1; 2.8.1; 2.8.2; 2.8.5	5 – 20	8	5 – 20	8	28 Jul 2011	01 Aug 2011
Chapter 3	3.2.2A [new]; 3.3.4; 3.6.2; 3.6.5A [new]; 3.7.2; 3.7.2A [new]; 3.7.2B [new]; 3.7.4A [new]; 3.7.6; 3.7.8; 3.7.8A [new]; 3.7.11; 3.7.11A [new]	3 – 18	8	3 – 20	9	20 Jul 2011 28 Jul 2011	01 Aug 2011
Transitional Provisions	TP 1	5 – 6	1	5 – 6	1	28 Jul 2011	01 Aug 2011
<b>COMP: COMPENSATION SOURCEBOOK (last updated in Release 115)</b>							
Chapter 8	8.2.3; 8.2.4A [new]	3 – 4	1	3 – 4	1	28 Jul 2011	01 Aug 2011

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Chapter 12	12.4.22 [new]	11 – 16	3	11 – 18	4	28 Jul 2011	01 Aug 2011
<b>SPECIALIST SOURCEBOOKS</b>							
<b>COLL: COLLECTIVE INVESTMENT SCHEMES (last updated in Release 115)</b>							
Chapter 6	6.6A.1	51 – 52	1	51 – 52	1	Minor and non- legal change	Minor and non- legal change

**If your Release package is incomplete please call the helpline on 0845 600 9355**

\* 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.*

