

## Release Handbook Summary

### Release 127

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> June 2012 and 6<sup>th</sup> July 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		
<b>GLOSSARY (last updated in Release 126)</b>							
A		A11 – A16	3	A11 – A16	3	20 June 2012	29 June 2012
D		D7 – D18	6	D7 – D18	6	28 June 2012	1 July 2012

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E		E11 – E22	6	E11 – E22	6	28 June 2012	1 July 2012
H		H5 – H6	1	H5 – H6	1	20 June 2012	29 June 2012
I		I21 – I26	3	I21 – I26	3	28 June 2012	1 July 2012
K		K1 – K2	1	K1 – K2	1	20 June 2012	29 June 2012
P		P13 – P14	1	P13 – P14	1	20 June 2012	29 June 2012
Q		Q1 – Q4	2	Q1 – Q4	2	20 June 2012	29 June 2012
R		R3 – R26	12	R3 – R26	12	20 June 2012 28 June 2012 Minor and non- legal change	29 June 2012 1 July 2012 6 July 2012
<b>HIGH LEVEL STANDARDS</b>							
<b>PRIN: PRINCIPLES FOR BUSINESS (last updated in Release 113)</b>							
Chapter 3	3.1.2	1 – 2	1	1 – 2	1	28 June 2012	1 July 2012
<b>COND: THRESHOLD CONDITIONS (last updated in Release 113)</b>							
Chapter 2	2.5.6	13 – 16	2	13 – 16	2	28 June 2012	1 July 2012
<b>FIT: THE FIT AND PROPER TEST FOR APPROVED PERSONS (last updated in Release 113)</b>							
Chapter 2	2.1.3	1 – 2	1	1 – 2	1	28 June 2012	1 July 2012
<b>TC: TRAINING AND COMPETENCE (last updated in Release 125)</b>							

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Appendix 4E		Entire App: 1 – 2	1	Entire App: 1 – 2	1	28 June 2012	29 June 2012
<b>GEN: GENERAL PROVISIONS (last updated in Release 125)</b>							
Chapter 2	2.2.6; 2.2.9	3 – 4	1	3 – 4	1	28 June 2012	1 July 2012
<b>FEES: FEES MANUAL (last updated in Release 126)</b>							
Chapter 1	1.1.1A [new] 1.1.2	1 – 4	2	1 – 4	2	28 June 2012	1 July 2012
Chapter 2	2.2.1	5 – 6	1	5 – 6	1	28 June 2012	1 July 2012
Chapter 3	3.2.7	11 – 18	4	11 – 18	4	28 June 2012	1 July 2012
Chapter 4	4.1.4; 4.2.11	1 – 4 9 – 14	2 3	1 – 4 9 – 14	2 3	28 June 2012	1 July 2012
	Annex 3 [deleted]	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	28 June 2012	1 July 2012
Appendix 1	[new]	[new]	[new]	Entire App: 1 – 10	5	28 June 2012	1 July 2012
<b>PRUDENTIAL STANDARDS</b>							
<b>GENPRU: GENERAL PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES, INSURERS AND INVESTMENT FIRMS (last updated in Release 122)</b>							
Chapter 1	1.3.35-1.3.35A [new]	31 – 42	6	31 – 42	6	26 April 2012	30 June 2012
Chapter 2	2.2.86; 2.2.248-2.2.249	49 – 50 93 – 94	1 1	49 – 50 93 – 94	1 1	26 April 2012	30 June 2012

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<b>BIPRU: PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES AND INVESTMENT FIRMS (last updated in Release 124)</b>							
Chapter 12	12.3.7	9 – 10	1	9 – 10	1	28 June 2012	1 July 2012
<b>BUSINESS STANDARDS</b>							
<b>COBS: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 124)</b>							
Chapter 4	4.1.1; 4.12.1	1 – 2 31 – 32	1 1	1 – 2 31 – 32	1 1	28 June 2012	2 July 2012
TP 1		3 – 6	2	3 – 4	1	28 June 2012	2 July 2012
TP 2		Entire TP: 1 – 18	9	Entire TP: 1 – 8	4	28 June 2012	2 July 2012
<b>MCOB: MORTGAGES AND HOME FINANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 112)</b>							
TP 1		Entire TP: 1 – 2	1	Entire TP: 1 – 2	1	28 June 2012	1 July 2012
TP 2	2.1	Entire TP: 1 – 4	2	Entire TP: 1 – 2	1	28 June 2012	1 July 2012
TP 3	3.1	Entire TP: 1 – 2	1	Entire TP: 1 – 2	1	28 June 2012	1 July 2012
<b>BCOBS: BANKING: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 113)</b>							
TP 1		Entire TP: 1 – 2	1	Entire TP: 1 – 2	1	28 June 2012	1 July 2012

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<b>CASS: CLIENT ASSETS (last updated in Release 124)</b>							
TP 1	1.1	Entire TP: 1 – 4	2	Entire TP: 1 – 2	1	28 June 2012	1 July 2012
<b>MAR: MARKET CONDUCT (last updated in Release 125)</b>							
Chapter 6	6.8.5	11 – 12	1	11 – 12	1	28 June 2012	1 July 2012
TP 1	1.2	Entire TP: 1 – 2	1	Entire TP: 1 – 2	1	28 June 2012	1 July 2012
<b>REGULATORY PROCESSES</b>							
<b>SUP: SUPERVISION (last updated in Release 126)</b>							
Chapter 3	3.3.2	11 – 12	1	11 – 12	1	28 June 2012	1 July 2012
Chapter 10	Annex 1	1 – 2	1	1 – 2	1	28 June 2012	1 July 2012
Chapter 16	16.12.5-16.12.7; 16.12.11; 16.12.13; 16.12.15; 16.12.17; 16.12.22A; 16.12.25A; 16.16 [entire new section]	63 – 64 67 – 68 73 – 186	1 1 57	63 – 64 67 – 68 73 – 186	1 1 57	26 April 2012 28 June 2012 Minor and non-legal changes	30 June 2012 1 July 2012 6 July 2012
	Annex 24	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	28 June 2012	1 July 2012
	Annex 31A [new]	[new]	[new]	Entire Ann: 1 – 2	1	26 April 2012	30 June 2012

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		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
	Annex 31B [new]	[new]	[new]	Entire Ann: 1 – 2	1	26 April 2012	30 June 2012
Schedule 2	2.2	37 – 42	3	37 – 42	3	26 April 2012	30 June 2012
<b>REDRESS</b>							
<b>DISP: DISPUTE RESOLUTION: COMPLAINTS (last updated in Release 123)</b>							
Chapter 1	1.6.5-1.6.7; 1.10.3; 1.10.7-1.10.8	17 – 34	9	17 – 32	8	26 May 2011	1 July 2012
	Annex 1	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	26 May 2011	1 July 2012
TP 1		5 – 8	2	5 – 8	2	26 May 2011	1 July 2012
<b>COMP: COMPENSATION (last updated in Release 124)</b>							
Chapter 12	12.6.2A	15 – 16	1	15 – 16	1	28 June 2012	1 July 2012
<b>SPECIALIST SOURCEBOOKS</b>							
<b>COLL: COLLECTIVE INVESTMENT SCHEMES (last updated in Release 125)</b>							
Chapter 8	Annex 1	1 – 2	1	1 – 2	1	28 June 2012	1 July 2012
<b>REC: RECOGNISED INVESTMENT EXCHANGES AND RECOGNISED CLEARING HOUSES (last updated in Release 125)</b>							
Chapter 4	4.2D.3	7 – 8	1	7 – 8	1	28 June 2012	1 July 2012
Chapter 6A	6A.2.4	3 – 4	1	3 – 4	1	28 June 2012	1 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.*

