



**BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY**

# Release Handbook Summary

## Release 140

This release contains pages to be inserted into your paper version of the Handbook in order to bring it up to date. These changes came into force between 7 July 2013 and 6 August 2013.

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 Handbook website, <http://fshandbook.info/FS/InstrumentsByDate.jsp>. A checklist, detailing which release number last updated pages within the Handbook hardcopy, is available. To view this, please visit <http://www.fca.org.uk/your-fca/list?ttypes=Handbook&yyear=&ssearch=>.

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 139)						

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
A		Entire Letter: A1 – A30	15	Entire Letter: A1 – A32	16	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
B		Entire Letter: B1 – B12	6	Entire Letter: B1 – B12	6	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
C		Entire Letter: C1 – C52	26	Entire Letter: C1 – C54	27	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
D		D5 – D20	8	D5 – D20	8	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
E		Entire Letter: E1 – E24	12	Entire Letter: E1 – E26	13	27 June 2013 22 July 2013	22 July 2013 23 July 2013
F		Entire Letter: F1 – F16	8	Entire Letter: F1 – F18	9	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
H		H7 – H10	2	H7 – H10	2	27 June 2013 22 July 2013	22 July 2013 23 July 2013
I		I5 – I30	16	I5 – I30	16	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
L		Entire Letter: L1 – L12	6	Entire Letter: L1 – L12	6	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
M		Entire Letter: M1 – M26	13	Entire Letter: M1 – M28	14	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
N		N3 – N12	5	N3 – N12	5	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
O		O5 – O14	5	O5 – O14	5	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
P		Entire Letter: P1 – P36	18	Entire Letter: P1 – P38	19	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
Q		Q3 – Q4	1	Q3 – Q4	1	27 June 2013 22 July 2013 25 July 2013	22 July 2013 23 July 2013 26 July 2013
R		Entire Letter: R1 – R34	17	Entire Letter: R1 – R34	15	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
S		Entire Letter: S1 – S34	17	Entire Letter: S1 – S34	17	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
T		T5 – T8	2	T5 – T8	2	27 June 2013 22 July 2013	22 July 2013 23 July 2013
U		U3 – U10	4	U3 – U12	5	27 June 2013 22 July 2013 25 July 2013	1 July 2013 22 July 2013 23 July 2013 26 July 2013
W		W1 – W2	1	W1 – W2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>HIGH LEVEL STANDARDS</b>							
<b>PRIN: PRINCIPLES FOR BUSINESS (last updated in Release 137)</b>							
Chapter 1	1.1.1;	1 - 2	1	1 - 2	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Chapter 3	3.1.1;	1 - 4	2	1 - 4	2	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROLS (last updated in Release 139)</b>							
Chapter 1	Annex 1	5 - 26	11	5 - 36	16	27 June 2013 22 July 2013	1 July 2013 23 July 2013
Chapter 4	4.1.1, 4.1.1A [new], 4.1.1B [new], 4.1.2; 4.1.2B, 4.1.2C, 4.1.2E; 4.2.1; 4.2.1B, 4.2.2; 4.2.4, 4.2.5; 4.2.6, 4.2.7 [new], 4.2.8 [new];	1 - 8	4	1 - 8	4	27 June 2013 22 July 2013	1 July 2013 23 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Chapter 6	6.1.4A; 6.1.4-B [new]	3 - 6	2	3 - 6	2	27 June 2013	1 July 2013
Chapter 7	7.1.2C; 7.1.7BA;	Entire Chapter: 1 - 6	3	Entire Chapter: 1 - 6	3	27 June 2013	1 July 2013
Chapter 10	10.1.1A [new]; 10.1.22 – 10.1.27 [new];	Entire Chapter: 1 - 12	6	Entire Chapter: 1 - 14	7	27 June 2013	1 July 2013
Chapter 19A	19A.1.1A [new];	1 - 6	3	1 - 6	3	27 June 2013	1 July 2013
Chapter 19B	[new]	N/A	N/A	Entire Chapter: 1 – 8	4	27 June 2013	22 July 2013
Chapter 21	21.1.1;	Entire Chapter: 1 - 4	2	Entire Chapter: 1 - 4	2	27 June 2013 22 July 2013	1 July 2013 23 July 2013
TP 2		Entire TP: 1 - 2	1	Entire TP: 1 - 2	1	27 June 2013	1 July 2013
Sch 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>TC: TRAINING AND COMPETENCE (last updated in Release 138)</b>							
App 4		7 - 26	10	7 - 26	10	25 July 2013	26 July 2013
Sch 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>GEN: GENERAL PROVISIONS (last updated in Release 139)</b>							

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
TP 3	[new]	N/A	N/A	Entire TP: 1 - 4	2	27 June 2013	22 July 2013
Schedule 4		Entire Sch: 1 – 8	4	Entire Sch: 1 – 8	4	Minor and non- legal change	26 July 2013
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>FEES: FEES MANUAL (last updated in Release 139)</b>							
Chapter 1	1.1.2;	3 - 6	2	3 - 6	2	27 June 2013 22 July 2013 25 July 2013	1 July 2013 22 July 2013 23 July 2013 26 July 2013
Chapter 3	3.2.5; 3.2.7;	5 - 24	10	5 - 24	10	27 June 2013 22 July 2013 25 July 2013	22 July 2013 23 July 2013 26 July 2013
	Annex 1	1 - 2	1	1 - 2	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013
	Annex 2	Entire Ann: 1 - 2	1	Entire Ann: 1 - 2	1	27 June 2013 22 July 2013	1 July 2013 22 July 2013 26 July 2013
Chapter 4	4.2.6, 4.2.7; 4.2.11; 4.3.1;	3 – 4 9 – 26	1 9	3 – 4 9 - 26	1 9	27 June 2013 22 July 2013	1 July 2013 22 July 2013 26 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
	Annex 1A	Entire Ann: 1 - 24	12	Entire Ann: 1 - 24	12	27 June 2013	1 July 2013 22 July 2013
	Annex 4	Entire Ann: 1 - 2	1	Entire Ann: 1 - 2	1	27 June 2013 25 July 2013	1 July 2013 22 July 2013 26 July 2013
Chapter 5	Annex 1	1 - 2	1	1 - 2	1	27 June 2013	22 July 2013
Chapter 6	6.1.16A; 6.4.6A; 6.4.7A; 6.5.2A; 6.5.6A; 6.5A.1;	5 - 6 15 - 18 21 - 26	1 2 3	5 - 6 15 - 18 21 - 26	1 2 3	Minor and non- legal change	26 July 2013
	Annex 3A	Entire Ann: 1 - 10	5	Entire Ann: 1 - 10	5	27 June 2013 Minor and non- legal change	1 July 2013 22 July 2013 26 July 2013
Schedule 4		Entire Sch: 1 - 2	1	Entire Sch: 1 - 2	1	Minor and non- legal change	26 July 2013
Schedule 6		Entire Sch: 1 - 2	1	Entire Sch: 1 - 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>PRUDENTIAL STANDARDS</b>							
<b>GENPRU: GENERAL PRUDENTIAL SOURCEBOOK (last updated in Release 139)</b>							
Chapter 1	1.2.11;	3 - 4	1	3 - 4	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Chapter 2	2.1.8; 2.1.45, 2.1.46; 2.1.48; 2.1.63 – 2.1.74 [new];	3 – 4 9 – 12 15 - 106	1 2 46	3 – 4 9 – 12 15 - 112	1 2 49	27 June 2013 22 July 2013	22 July 2013 23 July 2013
TP 16	[new]	N/A	N/A	Entire TP: 1 - 2	1	27 June 2013	22 July 2013
<b>BIPRU: PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES AND INVESTMENT FIRMS (last updated in Release 139)</b>							
Chapter 1	1.1.3; 1.1.8; 1.1.18 – 1.1.21;	1 – 4 7 – 10	2 2	1 – 4 7 – 10	2 2	27 June 2013	22 July 2013
Chapter 8	8.5.7, 8.5.8;	15 – 16	1	15 – 16	1	27 June 2013	22 July 2013
TP 35	[new]	N/A	N/A	Entire TP: 1 - 2	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013
<b>UPRU: PRUDENTIAL SOURCEBOOK FOR UCITS FIRM (last updated in Release 139)</b>							
Chapter 1	1.1.1; 1.1.4 – 1.1.6 [new];	1 – 2	1	1 – 2	1	27 June 2013	22 July 2013
<b>IPRU-FSOC: INTERIM PRUDENTIAL SOURCEBOOK FOR FRIENDLY SOCIETIES (last updated in Release 137)</b>							
Chapter 7		7 - 14	4	7 - 14	4	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>IPRU-INV: INTERIM PRUDENTIAL SOURCEBOOK FOR INVESTMENT BUSINESSES (last updated in Release 139)</b>							
Contents		1 - 2	1	1 - 2	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013



CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
TP 1		Entire TP: 1 - 2	1	Entire TP: 1 - 2	1	27 June 2013	22 July 2013
Chapter 1		Entire Chapter: 1 - 4	2	Entire Chapter: 1 - 4	2	27 June 2013	22 July 2013
Chapter 2		Entire Chapter: 1 - 4	2	Entire Chapter: 1 - 6	3	27 June 2013	22 July 2013
Chapter 3	Appendix 1	13 - 22	5	13 - 22	5	27 June 2013	22 July 2013
Chapter 5		3 - 26	12	3 - 26	12	27 June 2013	22 July 2013
Chapter 11	[new]	N/A	N/A	1 - 14	7	27 June 2013	22 July 2013
Chapter 14		1 - 8	4	1 - 8	4	27 June 2013	22 July 2013
Annex A		Entire Ann: 1 - 4	2	Entire Ann: 1 - 4	2	27 June 2013	22 July 2013
<b>BUSINESS STANDARDS</b>							
<b>COBS: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 139)</b>							
Chapter 1	Annex 1	Entire Ann: 1 – 10	5	Entire Ann: 1 – 10	5	27 June 2013	22 July 2013
Chapter 2	2.1.4, 2.1.5 [new];	3 – 4	1	3 – 4	1	27 June 2013	22 July 2013
Chapter 3	3.2.3;	5 – 6	1	5 – 6	1	27 June 2013	22 July 2013
Chapter 4	4.12.1;	32 – 33	1	32 – 33	1	27 June 2013	22 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Chapter 18	18.5.1, 18.5.1A [new], 18.5.2, 18.5.2-A [new]; 18.5.3, 18.5.4, 18.5.4A [new], 18.5.4B [new], 18.5.5, 18.5.5A; 18.5.6 - 18.5.10, 18.5.10A [new], 18.5.11 - 18.5.15; 18.5.17, 18.5.18; 18.10.2 [new];	13 – 36	12	13 – 38	13	27 June 2013	22 July 2013
TP 1		5 – 6	1	5 – 6	1	27 June 2013	22 July 2013
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>ICOB: INSURANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 137)</b>							
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>MCOB: MORTGAGES AND HOME FINANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 139)</b>							
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>BCOB: BANKING: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 1367)</b>							
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>CASS: CLIENT ASSETS SOURCEBOOK (last updated in Release 139)</b>							
Chapter 1	1.4.6A [new], 1.4.7;	7 – 10	2	7 – 10	2	27 June 2013	22 July 2013
Chapter 6	6.1.1; 6.1.1B; 6.1.16BA [new]; 6.1.16F; 6.1.16IA [new], 6.1.16IB [new]; 6.1.16C [new]; 6.5.4; 6.5.7A [new]; 6.4.8A [new]; 6.5.13;	1 – 20	10	1 – 24	12	27 June 2013	22 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Chapter 8	8.1.2A; 8.2.1;	1 – 4	2	1 – 4	2	27 June 2013	22 July 2013
Chapter 9	9.2.2 [new]; 9.3.2;	3 – 6	2	3 – 6	2	27 June 2013	22 July 2013
Chapter 10	10.1.1;	1 – 2	1	1 – 2	1	27 June 2013	22 July 2013
Schedule 2		Entire Sch: 1 – 4	2	Entire Sch: 1 – 4	2	27 June 2013	22 July 2013
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>MAR: MARKET CONDUCT (last updated in Release 139)</b>							
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>REGULATORY PROCESSES</b>							
<b>SUP: SUPERVISION (last updated in Release 139)</b>							
Chapter 3	3.10.5;	27 – 30	2	27 – 30	2	27 June 2013	22 July 2013
	Annex 1**	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 June 2013	22 July 2013
Chapter 6	6.1.2;	1 – 2	1	1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
Chapter 10A	10A.1.24 [new]; 10A.6.3; 10A.7.8; 10A.8.5 [new];	7 – 8 15 – 24	1 5	7 – 8 15 – 24	1 5	27 June 2013	22 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Chapter 13	13.2.5 [new]; 13.3.2; 13.3.4-A [new]; 13.3.5 – 13.3.7; 13.4.2; 13.4.2F [new]; 13.4.4-A; 13.4.5; 13.5.2; 13.6.9C [new], 13.6.10, 13.6.11; 13.6.18 [new]; 13.7.1; 13.7.13B [new], 13.7.14 [new]; 13.8.1;	3 – 30	14	3 – 34	16	27 June 2013 22 July 2013	22 July 2013 23 July 2013
	Annex 1**	Entire Ann: 1 - 2	1	Entire Ann: 1 - 2	1	27 June 2013	22 July 2013
	Annex 8** [new]	N/A	N/A	Entire Ann: 1 - 2	1	27 June 2013	22 July 2013
Chapter 13A	13A.1.3; 13A.4.4; 13A.5.4;	3 – 4 11 – 14	1 2	3 – 4 11 – 14	1 2	27 June 2013 22 July 2013	22 July 2013 23 July 2013
	Annex 1	Entire Ann: 1 – 14	7	Entire Ann: 1 – 14	7	27 June 2013 22 July 2013	1 July 2013 22 July 2013 23 July 2013
	Annex 2	Entire Ann: 1 – 4	2	Entire Ann: 1 – 4	2	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Chapter 14	14.2.15 [new], 14.2.16 [new]; 14.3.1; 14.3.8 [new], 14.3.9 [new], 14.3.10 [new];	5 – 14	5	5 – 16	6	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Chapter 15	15.3.11; 15.3.26 [new], 15.3.27 [new], 15.3.28 [new];	7 – 12	3	7 – 12	3	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Chapter 16	16.1.1C [new]; 16.1.3; 16.3.2; 16.12.4; 16.12.11, 16.12.12, 16.12.13; 16.12.15, 16.12.16, 16.12.17; 16.12.22A; 16.12.23, 16.12.24; 16.14.4; 16.18 [new];	Entire Chapter: 1 – 180	90	Entire Chapter: 1 – 206	103	27 June 2013 22 July 2013 25 July 2013	1 July 2013 22 July 2013 23 July 2013 26 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
	Annex 24**	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013
	Annex 25**	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013
TP 1		57 – 58	1	57 – 60	2	27 June 2013	22 July 2013
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>DEPP: DECISION PROCEDURE AND PENALTIES MANUAL (last updated in Release 139)</b>							
Chapter 2	Annex 1	5 – 16	6	5 – 16	6	25 July 2013	26 July 2013
	Annex 2	3 – 4	1	3 – 4	1	25 July 2013	26 July 2013
Schedule 3		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	25 July 2013	26 July 2013
Schedule 4		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	25 July 2013	26 July 2013
<b>REDRESS</b>							
<b>DISP: DISPUTE RESOLUTION: COMPLAINTS (last updated in Release 137)</b>							
Chapter 1	1.1.3; 1.1.5; 1.1.5-A [new];	1 – 8	4	1 – 8	4	27 June 2013	22 July 2013
	Annex 2	Entire Ann: 1 - 6	3	Entire Ann: 1 - 6	3	27 June 2013	22 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Chapter 2	1.6.1, 2.6.2;	11 – 12	1	11 – 12	1	27 June 2013	22 July 2013
Schedule 4		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	Minor and non- legal change	26 July 2013
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>COMP: COMPENSATION (last updated in Release 139)</b>							
Chapter 1	1.4.1; 1.4.4 [new], 1.4.5 [new];	7 – 8	1	7 – 8	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Chapter 4	4.2.2;	5 – 6	1	5 – 6	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Chapter 5	5.5.1, 5.5.2, 5.5.3 [new];	9 – 12	2	9 – 12	2	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Chapter 6	6.2.2;	3 – 4	1	3 – 4	1	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Chapter 14	14.1.2, 14.1.3; 14.1.4A [new], 14.1.5; 14.2.3;	1 – 4	2	1 – 4	2	27 June 2013 22 July 2013	22 July 2013 23 July 2013
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
<b>SPECIALIST SOURCEBOOKS</b>							
<b>COLL: COLLECTIVE INVESTMENT SCHEMES (last updated in Release 139)</b>							
Chapter 3	3.2.6;	5 – 12	4	5 – 12	4	25 July 2013	26 July 2013
Chapter 4	4.2.5;	7 – 24	9	7 – 24	9	25 July 2013	26 July 2013
Chapter 5	5.3.11;	43 – 44	1	43 – 44	1	25 July 2013	26 July 2013
Chapter 7	7.7.6; 7.7.10;	39 – 44	3	39 – 44	3	25 July 2013	26 July 2013
Chapter 9	9.4.2;	5 – 6	1	5 – 6	1	25 July 2013	26 July 2013
TP 1		9 - 10	1	9 - 10	1	25 July 2013	26 July 2013
<b>PROF: PROFESSIONAL FIRMS (last updated in Release 137)</b>							
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 June 2013 22 July 2013	1 July 2013 23 July 2013
<b>FUND: INVESTMENT FUNDS (new module)</b>							
Chapter 1		N/A	N/A	1 - 10	4	27 June 2013	22 July 2013
Chapter 2		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
Chapter 3		N/A	N/A	1 - 42	21	27 June 2013	22 July 2013
Chapter 4		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Chapter 5		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
Chapter 6		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
Chapter 7		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
Chapter 8		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
Chapter 9		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
Chapter 10		N/A	N/A	1 - 14	7	27 June 2013	22 July 2013
Chapter 11		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
TP 1		N/A	N/A	1 - 4	2	27 June 2013	22 July 2013
Schedule 1		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
Schedule 2		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
Schedule 3		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013
Schedule 4		N/A	N/A	1 - 2	1	27 June 2013	22 July 2013

\* 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://fshandbook.info/FS/usefullinks/forms.jsp>*

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