



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY

Release Handbook Summary

Release 152

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 2014 and 6 August 2014.

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&year=&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 151)							
A	[Whole Module]	A1 – A40	20	A1 – A42	21	27 February 2014 24 July 2014	22 July 2014 4 August 2014

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
C		19 - 22 67 – 74	2 4	19 – 22 67 – 74	2 4	Minor & non- legal Change 27 February 2014 24 July 2014	22 July 2014 4 August 2014
D	[Whole Module]	D1 – D28	14	D1 – D28	14	27 June 2013 3 October 2013 24 July 2014	22 July 2014 4 August 2014
E		E21 –E22	1	E21 – E22	1	27 June 2013 3 October 2013 27 February 2014	22 July 2014
F		F11 - F14 F19 – F22	2 2	F11 –F14 F19 – F22	2 2	Minor & Non- legal Change 27 February 2014	22 July 2014
I		I11 – I36	13	I11 – I36	13	27 February 2014	22 July 2014
M	[Whole Module]	M1 – M28	14	M1 – M30	15	27 February 2014 24 July 2014	22 July 2014 4 August 2014

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
O		O9 – O20	6	O9 – O20	6	27 February 2014 24 July 2014	22 July 2014 4 August 2014
P		P9 – P10 P17 – P18	1 1	P9 – P10 P17 – P18	1 1	27 February 2014	22 July 2014
Q	[Whole Module]	Q1 – Q4	2	Q1 – Q4	2	27 February 2014	22 July 2014
R		R7 – R44	19	R7 – R44	19	27 February 2014	22 July 2014
S	[Whole Module]	S1 – S44	22	S1 – S44	22	24 July 2014	4 August 2014
T		T9 – T16	4	T9 – T16	4	27 February 2014	22 July 2014
U		U13 – U14	1	U13 – U14	1	27 February 2014	22 July 2014
HIGH LEVEL STANDARDS							
PRIN: PRINCIPLES FOR BUSINESSES (last updated in Release 151)							
Chapter 2	2.1.1;	1 – 2	1	1 – 2	1	Minor & Non- legal Change	4 August 2014
SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROLS (last updated in Release 151)							

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Chapter 1	Annex 1;	9 – 50	21	9 – 50	21	24 July 2014	4 August 2014
GEN: GENERAL PROVISIONS (last updated in Release 151)							
Schedule 4	4.2; 4.11;	1 – 8	4	1 – 8	4	Minor & Non-legal Change	4 August 2014
FEES: FEES MANUAL (last updated in Release 151)							
Chapter 4	Annex 1A;	3 – 6	2	3 – 6	2	27 February 2014	22 July 2014
Chapter 6	Annex 3A;	1 – 10	5	1 – 10	5	27 February 2014	22 July 2014
PRUDENTIAL STANDARDS							
UPRU: PRUDENTIAL SOURCEBOOK FOR UCITS FIRMS (last updated in Release 146)							
	[Whole Module]	1 – 28	14	N/A	N/A	27 June 2013	22 July 2014
BUSINESS STANDARDS							
COBS: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 150)							
Chapter 9	9.1.1;	1 – 2	1	1 – 2	1	24 July 2014	4 August 2014
Chapter 14	14.3.1;	11 – 12	1	11 – 12	1	24 July 2014	4 August 2014
CASS: CLIENT ASSETS (last updated in Release 151)							

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	6.1.16B;	5 – 10	3	5 – 10	3	27 June 2013	22 July 2014
Schedule 2	2.1;	1 – 6	3	1 – 6	3	Minor & Non-legal Change	4 August 2014
MAR: MARKET CONDUCT (last updated in Release 146)							
Chapter 1	1.6.1;	25 – 26	1	25 – 26	1	Minor & Non-legal change	4 August 2014
REGULATORY PROCESSES							
SUP: SUPERVISION (last updated in Release 151)							
Chapter 3	3.1.10;	9 – 10	1	9 – 10	1	27 February 2014	22 July 2014
Chapter 10	10A.1.6;	3 – 4	1	3 – 4	1	Minor & Non-legal Change	4 August 2014
Chapter 12	12.2.7; 12.5.2;	5 – 8 19 – 22	2 2	5 – 8 19 – 22	2 2	Minor & Non-legal Change 24 July 2014	4 August 2014
Chapter 16	16.12.4; 16.12.11; 16.12.12; 16.12.13; 16.12.15; 16.12.17; 16.12.19; 16.12.20; 16.12.21; 16.12.25; 16.12.26; 16.12.27;	49 - 242	97	49 – 242	97	27 June 2013 22 July 2013 27 February 2014 25 April 2014	22 July 2014

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;	1 – 2	1	1 – 2	1	27 June 2013 22 July 2013	22 July 2014
	Annex 25;	1 – 2	1	1 – 2	1	27 June 2013 22 July 2013	22 July 2014
Appendix 3	3.9.6;	11 – 12	1	11 – 12	1	27 February 2014	22 July 2014
REDRESS							
DISP: DISPUTE RESOLUTION: COMPLAINTS (last updated in Release 151)							
Chapter 1	1.10.1; 1.10.4A; 1.10A.1;	23 – 30	4	23 – 30	4	24 July 2014	4 August 2014
Chapter 2	2.5.1;	9 – 10	1	9 – 10	1	23 June 2014 26 June 2014	22 July 2014
	Annex 1;	1 – 4	1	1 – 4	1	23 June 2014 26 June 2014	22 July 2014
TP 1	1.1	1 – 12	6	1 – 12	6	24 July 2014	4 August 2014
SPECIALIST SOURCEBOOKS							
CONC: CONSUMER CREDIT SOURCEBOOK(last updated in Release 151)							
Chapter 1	1.2.1; 1.2.4;	3 – 6	2	3 – 6	2	24 July 2014	4 August 2014

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Chapter 12	12.1;	1 – 2	1	1 – 2	1	24 July 2014	4 August 2014
PRA RULEBOOK (last updated in Release 149)†							
RULEBOOK GLOSSARY							
	[Whole Module]	1 – 6	3	1 – 12	6	13 June 2014	19 June 2014
FUNDAMENTAL RULES							
	[New Module]	N/A	N/A	1 – 4	2	13 June 2014	19 June 2014
INFORMATION GATHERING							
	[New Module]	N/A	N/A	1 – 4	2	13 June 2014	19 June 2014
AUDITORS							
	[New Module]	N/A	N/A	1 – 6	3	13 June 2014	19 June 2014
LLOYD’S: ACTUARIES AND AUDITORS							
	[New Module]	N/A	N/A	1 – 4	2	13 June 2014	19 June 2014
SKILLED PERSONS							
	[New Module]	N/A	N/A	1 – 4	2	13 June 2014	19 June 2014
NOTIFICATIONS							

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
	[New Module]	N/A	N/A	1 – 16	8	13 June 2014	19 June 2014

*** 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>

**** 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.*

† N.B: Included with the PRA Rulebook parts is a Rulebook Index that sets out which sectors apply to certain firms.