



HANDBOOK CHECKLIST SUMMARY

August 2013

This checklist summary is a complete list of all the pages which should be in your handbook after insertion of Release 140.

APER	CONRED	GEN	MCOB
BCOBS	CREDS	GENPRU	MIPRU
BIPRU	DEPP	Glossary	PR
BSOCS	DISP	ICOBS	PRIN
CASS	DTR	INSPRU	PROF
CIS	ECO	IPRU(FSOC)	RCB
COAF	ELM	IPRU(INS)	REC
COBS	FEES	IPRU(INV)	SUP
COLL	FINMAR	LLD	SYSC
COMP	FIT	LR	TC
COND	FUND	MAR	UPRU

Please ensure that you have the latest pages by comparing the release number found at the bottom of each page with the release numbers overleaf.

High Level Standards

Module	Page Number	Release No/Date
Principles for Businesses (PRIN)		
Entire module	All	136
Chapter 1	1-2	140
Chapter 3	1-4	140
Annex 1	1-2	137
Sch 4	1-2	137
Sch 6	1-2	140
Senior Management Arrangements, Systems and Controls (SYSC)		
Entire module	All	136
Chapter 1	1-2	137
Chapter 1 Annex 1	5-36	140
Chapter 4	1-8	140
Chapter 6	3-6	140
Chapter 7	All	140
Chapter 10	All	140
Chapter 19A	1-6	140
Chapter 19B	All	140
Chapter 21	All	140
TP 1	1-2	137
TP 2	All	140
TP 3	1-2	137
Sch 4	1-2	137
Sch 6	All	140
Threshold Conditions (COND)		
Entire module	All	
Chapter 19	[Deleted]	
Appendix 1	[Deleted]	
Statements of Principle and Code of Practice for Approved Persons (APER)		
All		136
The Fit and Proper test for Approved Persons (FIT)		
Entire module	All	136
Sch 4	1-2	137
Financial Stability and Market Confidence (FINMAR)		
Entire module	All	136
FINMAR 3	Deleted	
Sch 4	1-2	137
Training and Competence (TC)		
	Page number	Release
Entire module	All	136
App 4	5-6	137
	7-26	140

Sch 4	1-2	137
Sch 6	All	140
Annexes	<i>Deleted</i>	
Derivations and Destinations	<i>Deleted</i>	
General provisions (GEN)		
	Page number	Release
Entire module	All	136
Chapter 1	3-4	139
Ch 2: Annex 2	<i>Deleted</i>	
Chapter 3	Moved to FEES	
TP 3	All	140
Sch 4	All	140
Sch 6	All	140
Fees manual (FEES)		
	Page number	Release
Entire module	All	136
Chapter 1	3 - 6	140
Chapter 3	5 - 24	140
Chapter 3 Annex 1	1 - 2	140
Chapter 3 Annex 2	All	140
Chapter 3 Annex 5	1 - 2	139
Chapter 4	1 - 2	139
	3 - 4	140
	5 - 8	139
	9 - 26	140
Annex 1A	All	140
Annex 2A	1 – 6	139
Annex 2B	1 – 8	139
Annex 4	All	140
Annex 5	1 - 2	139
Annex 6	1 - 2	139
Annex 7	1 - 2	139
Annex 8	1 - 2	139
Annex 9	1 - 2	139
Annex 10	1 - 2	139
Annex 11	5 – 8	139
Chapter 5	11 - 14	137
Chapter 5 Annex 1	1 – 2	140
	3 - 4	139
Chapter 5 Annex 3	7-8	137
Chapter 6	1 – 2	136
	3 – 4	137
	5 – 6	140
	7 - 8	136
	9 – 12	137
	13 – 14	136
	15 – 18	140
	19 – 20	136
21 – 26	140	
Chapter 6 Annex 3	1-6	138
Chapter 6 Annex 3A	All	140
Chapter 7	7-8	137
Chapter 7 Annex 1	1 – 4	139

Appendix 1 Annex 1	5 - 6	139
TP 7	1-2	137
Sch 4	All	140
Sch 6	All	140

Prudential Standards		
Module	Page Number	Release No
Interim Prudential sourcebook (PRU)		
Contents	<i>Deleted</i>	
Chapters 1-8	<i>Deleted</i>	
Chapter 9	Moved to MIPRU	
Annex 1	<i>Deleted</i>	
TP	<i>Deleted</i>	
Schedules 1-6	<i>Deleted</i>	
<i>last in-force 31/12/2006</i>		
General Prudential sourcebook (GENPRU)		
Entire module	All	136
Chapter 1	3 - 4	140
	21 - 22	137
Chapter 2	3 - 4	140
	9 - 12	140
	15 - 112	140
Chapter 2 Annex 8	1 - 10	139
Chapter 3	All	139
Chapter 3 Annex 1	All	139
TP 15	1-2	137
TP 16	All	140
Sch 4	1-2	137
Prudential sourcebook for Banks, Building Societies and Investment Firms (BIPRU)		
Entire module	All	136
Chapter 1	1 - 4	140
	7 - 10	140
	19 - 22	139
Chapter 1 Annex 2	1-2	137
Chapter 1 Annex 3	1-2	137
Chapter 3	9 - 10	139
	11-14	137
Chapter 4	7 - 8	139
	9 - 12	136
	13 - 16	139
Chapter 6	27 - 28	139
Chapter 7	107 -108	139
	109 - 144	136
	145-146	137
Chapter 8	1 - 2	136
	3 - 6	139
	7 - 14	136
	15 - 16	140
	17 - 18	139
Chapter 8 Annex 4	All	139
Chapter 9	31 - 32	137

Prudential Standards		
Module	Page Number	Release No
	39 - 40	
	41 – 56	136
	57 – 60	139
Chapter 10	3 - 4	137
	13 - 14	
	25-26	138
	27 – 28	136
	29 – 32	139
Chapter 11	3 – 4	139
	5 – 8	136
	9 – 10	139
Chapter 12	39-40	138
TP 3	1-2	137
TP 4	1-2	137
TP 5	1-2	137
TP 6	1-2	137
TP 7	1-2	137
TP 8	1-2	137
TP 9	1-2	137
TP 10	1-2	137
TP 12	1-2	137
TP 13	1-2	137
TP 14	1-2	137
TP 17	<i>[deleted]</i>	
TP18	<i>[deleted]</i>	
TP 19	<i>[deleted]</i>	
TP 20	1-2	137
TP 22	1-4	137
TP 23	1-2	137
TP 24	1-2	137
TP 25	1-2	137
TP 26	1-2	137
TP 27	1-2	137
TP 28	1-2	137
TP 31	1-2	137
TP 32	1-2	137
TP 34	1-2	137
TP 35	All	140
Sch 4	1-2	137
Prudential sourcebook for Insurers (INSPRU)		
Entire module	All	136
Chapter 1	21-30	137
Chapter 6	All	139
TP 1	3-6	137
Sch 4	1-2	137
Annex 1	<i>[Deleted]</i>	
Prudential sourcebook for Mortgage and Home Finance Firms, and Insurance Intermediaries (MIPRU)		
Entire module	All	136

Prudential Standards

Module	Page Number	Release No
TP 1	1-2	137
Sch 4	1-2	137
Prudential sourcebook for UCITS Firms (UPRU)		
Entire module	All	136
Chapter 1	1 - 2	140
Sch 3	1 - 2	137
Sch 4	1 - 2	137
Sch 6	All	139
Interim Prudential sourcebook for banks (IPRU(BANK))		
<i>Deleted – last in-force 31/10/2010</i>		
Interim Prudential sourcebook for building societies (IPRU(BSOC))		
<i>Deleted – last in-force 30/09/2010</i>		

Interim Prudential sourcebook for friendly societies (IPRU(FSOC))		
Entire module	All	136
Chapter 7	7 – 14	140
Annex A to Appendix 4	deleted	
Guidance on Relationships with Controlled Bodies	deleted	
Annex 1	1-2	137
Annex 2	1-2	137
Annex 3	1-6	137
Annex 8	deleted	

Interim Prudential sourcebook for insurers (IPRU(INS))		
Entire module	All	136
Purpose	deleted	
Chapter 2	deleted	
Chapter 4, 5, 6, 7	deleted	
Chapter 9	41 - 58	139
Appendix 2.1	deleted	
Appendix 2.2	deleted	
Appendix 2.3	deleted	
Appendix 3.1	deleted	
Appendix 3.2	deleted	
Appendix 4.1	deleted	
Appendix 4.2	deleted	
Appendix 5.1	deleted	
Appendix 6.1	deleted	
Appendix 6.2	deleted	
Interim Prudential sourcebook for investment businesses (IPRU(INV))		
Entire module	All	136
Contents	1 – 2	140
TP 1	All	140
Chapter 1	All	140
Chapter 2	All	140

Chapter 3 Appendix 1	13 – 22	140
Chapter 5	3 – 26	140
Chapter 5 Appendix 1	All	139
Chapter 7	<i>Moved to UPRU</i>	
Chapter 10	<i>Deleted</i>	
Chapter 11	All	140
Chapter 13	29 - 50	138
Chapter 14	1 - 8	140
Annex A	All	140
Appendices	<i>Deleted</i>	
10 Securities and Futures Firms	<i>Deleted</i>	

Business Standards		
Module	Page Number	Release No
Conduct of Business (COB)		
<i>31/10/2007 last date material was in force</i>		
Conduct of Business (COBS)		
Entire module	All	136
Chapter 1 Annex 1	All	140
Chapter 2	3 – 4	140
Chapter 3	5 – 6	140
Chapter 4	5 - 6	137
	32 - 33	140
Chapter 5	7 - 8	137
Chapter 7	3 - 4	137
Chapter 11	3 – 4	139
	5 – 26	136
	27 - 28	138
Chapter 14	3 – 6	139
Chapter 18	13 – 38	140
TP 1	5 -6	140
Sch 4	1 - 2	137
Sch 6	All	140
Insurance: Conduct of Business (ICOB)		
<i>05/01/2008 last date material was in force</i>		
Insurance: Conduct of Business (ICOBS)		
Entire module	All	136
Chapter 3	1-2	137
Chapter 3 Annex 1	1-2	137
Chapter 3 Annex 2	1-2	137
Chapter 3 Annex 3	1-2	137
Chapter 5	3-4	137
Sch 4	1-2	137
Sch 6	All	140
Mortgage: Conduct of Business (MCOB)		
Entire module	All	136
Chapter 2	25-26	137
Chapter 6	11 - 12	137
	13 – 14	139
TP 1	1 - 2	137
TP 2	1 - 2	137
TP 3	1 - 2	137
Sch 4	1 - 2	137
Sch 6	All	140
Annex 1 - 4	<i>Deleted</i>	
Banking: Conduct of Business (BCOBS)		
Entire module	All	136
Chapter 3	5 - 6	137
Chapter 3 Annex 1	1 - 2	137
Sch 4	1 - 2	137
Sch 6	All	140

Business Standards		
Module	Page Number	Release No
Client Assets (CASS)		
Entire module	All	136
Chapter 1	7 - 10	140
	11 - 12	137
Chapter 2	<i>Deleted</i>	
Chapter 4	<i>Deleted</i>	
Chapter 6	1 - 24	140
Chapter 7	11 - 12	139
	13 - 30	136
	31 - 32	137
Chapter 8	1 - 4	140
Chapter 9	3 - 6	140
Chapter 10	1 - 2	140
Sch 2	All	140
Sch 4	1 - 2	137
Sch 6	All	140
Market conduct (MAR)		
Entire module	All	136
Chapter 2	1 - 2	139
Chapter 3	<i>Deleted</i>	
Annex 1	<i>Deleted</i>	
Sch 4	1 - 2	137
Sch 6	All	140
Money Laundering (ML)		
30/08/2006 last date material was in force		

Regulatory Processes		
Module	Page Number	Release No
Authorisation (AUTH)		
<i>30/12/2006 last date material was in force</i>		
Supervision (SUP)		
Entire module	All	136
Chapter 2	5-6	137
Chapter 3	11-12 17-18	137
	27 – 30	140
Chapter 3 Annex 1	All 140	
Chapter 6	1 – 2	140
	27-28	137
Chapter 6 Annex 5	1-2	137
Chapter 8	3-4	139
Chapter 10A	7 – 8	140
	15 – 24	140
Chapter 10B	29 – 30	139
Chapter 10 Annex 3	<i>Deleted</i>	
Chapter 11	9-10	137
Chapter 11 Annex 4	<i>Deleted</i>	
Chapter 11 Annex 5	<i>Deleted</i>	
Chapter 13	3 – 34	140
Chapter 13 Annex 1	All	140
Chapter 13 Annex 7	1-2	138
Chapter 13 Annex 8	All	140
Chapter 13A	3 - 4	140
	11 – 14	140
Chapter 13A Annex 1	All	140
Chapter 13A Annex 2	All	140
Chapter 14	5 – 16	140
Chapter 15	7 – 12	140
	19 - 22	137
	23 – 26	136
	27 – 28	139
Chapter 16	All	140
Chapter 16 Annex 7	<i>Deleted</i>	
Chapter 16 Annex 8	<i>Deleted</i>	
Chapter 16 Annex 18A	1-2	137
Chapter 16 Annex 18B	1-2	137
Chapter 16 Annex 24	All	140
Chapter 16 Annex 25	All	140
Chapter 16 App 1	1-2	137
Chapter 17		
Annex 2	<i>Deleted</i>	

Regulatory Processes

Module	Page Number	Release No
Annex 3	<i>Deleted</i>	
Annex 4	<i>Deleted</i>	
Annex 5	<i>Deleted</i>	
Chapter 19	<i>Deleted</i>	
Chapter 20	<i>Moved to FEES</i>	
Annex 1	<i>Moved to FEES</i>	
Annex 2	<i>Moved to FEES</i>	
Annex 3	<i>Moved to FEES</i>	
Annex 4	<i>Moved to FEES</i>	
TP 1	57 - 60	140
Sch 6	All	140

Enforcement (ENF)		
<i>27/08/2007 last date material was in force</i>		
Decision making (DEC)		
<i>27/08/2007 last date material was in force</i>		
Decision Procedure and Penalties Manual (DEPP)		
Entire module	All	136
Chapter 1	1 – 8	140
Chapter 1 Annex 2	All	140
Chapter 2	11 - 12	140
Chapter 2 Annex 1	5 - 16	139
Chapter 2 Annex 2	All	139
Sch 3	All	140
Sch 4	All	140

Redress		
Module	Page Number	Release No
Dispute resolution: Complaints (DISP)		
Entire module	All	137
Chapter 1	1 – 8	140
Chapter 1 Annex 2	All	140
Chapter 2	11 – 12	140
Chapter 5	Moved to FEES	
Annex 1	Moved to FEES	
Appendix 2	<i>Deleted</i>	
Sch 4	All	140
Sch 6	All	140
Compensation (COMP)		
Entire module	All	136
Chapter 1	3 - 4	137
	7 - 8	140
Chapter 4	5 - 6	140
Chapter 5	9 - 12	140
Chapter 6	3 - 4	140
Chapter 13	Moved to FEES	
TP 1	5 - 10	137
Sch 4	1 - 2	137
Sch 6	1 – 2	140
Annex 1	Moved to FEES	
Consumer redress schemes (CONRED)		
Entire module	All	136
Chapter 2	1 - 2	137
Chapter 2 Annex 2	1 - 2	137
Chapter 2 Annex 13	15 - 16	139
Sch 4	1 - 2	137
Complaints against the FSA (COAF)		
<i>31/03/2013 last date material was in force</i>		

Specialist sourcebooks		
Module	Page Number	Release No
Collective Investment Schemes (CIS)		
<i>11/02/2007 last date material was in force</i>		
Building Societies Sourcebook (BSOCS)		
Entire module	All	136
Sch 4	1-2	137
Sch 5	1-2	137

Collective Investment Schemes (COLL)		
Entire module	All	136
Chapter 1	All	139
Chapter 2	All	139
Chapter 3	All	139
	5 - 12	140
Chapter 4	All	139
	7 - 24	140
Chapter 5	All	139
	43 - 44	140
Chapter 6	All	139
Chapter 7	All	139
	39 - 44	140
Chapter 8	All	139
Chapter 8 Annex 1	All	139
Chapter 8 Annex 2	All	139
Chapter 9	5 - 6	140
Chapter 11	All	139
Chapter 12	All	139
Sch 2	All	139
Sch 4	1 - 2	137
Sch 6	All	139
TP 1	9 - 10	140

Credit Unions new sourcebook (CREDS)		
Entire module	All	136
Sch 4	1 - 2	137
Chapter 12	<i>Deleted</i>	
Chapter 16	<i>Deleted</i>	

Investment Funds sourcebook (FUND)		
Entire module	All	140

Electronic Commerce Directive (ECO)		
<i>31/10/2007 last date material was in force</i>		

Electronic money (ELM)		
<i>29/04/2012 last date material was in force</i>		

Lloyd's (LLD)		
<i>30/12/2006 last date material was in force</i>		

Professional firms (PROF)		
Entire module	All	136
Chapter 6 Annex 1 Annex 2	<i>Deleted</i>	
Sch 4	1-2	137
Sch 6	All	140

Regulated Covered Bonds (RCB)		
Entire module	All	136
Sch 4	1-2	137

Recognised Investment Exchanges and Recognised Clearing Houses (REC)		
Entire module	All	136
Chapter 1	1-2	137
Chapter 2	15-16	137
Chapter 4	19-20	138
Chapter 7	<i>Deleted</i>	

Listing, Prospectus and Disclosure		
Module	Page Number	Release No
Listing Rules (LR)		
Entire module	All	136
Chapter 8	3 - 4	137
Chapter 9 Annex 1	All	139
Chapter 15	5 - 6	140
	7 - 8	136
	9 - 10	140
Chapter 18	5 - 6	137
App 1	1 - 26	138
Sch 4	1 - 2	137
Sch 6	All	139

Prospectus Rules (PR)		
Entire module	All	136
Chapter 2	25 - 26	137
App 1	1 - 8	138
Sch 4	1 - 2	137
Sch 6	All	139

Disclosure Rules and Transparency Rules (DTR)		
Entire module	All	136
Chapter 1	3-4	139
Chapter 1A	3-4	139
Chapter 4	1-2	137
Chapter 5	5-6	139
Sch 6	All	139

Glossary

Page Number	Release No
Sections 1, 5	136
A	140
B	140
C	136
D1 - D4	136
D5 - D20	140
E	140
F	140
G1 - G4	136
G5 - G6	139
H	136
H7 - H10	140
I	136
I5 - I30	140
J-K	136
L	140
M	140
N	136
N3 - N12	140
O	136
O5 - O14	140
P	140
Q	136
Q3 - Q4	140
R	140
S	140
T	136
T5 - T8	140
U	136
U1 - U2	136
U3 - U12	140
V	136
W	136
W1 - W2	140
X - Z	136