



**BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY**

Release Handbook Summary

Release 136

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 March 2013 and 6 April 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>; choose Search; enter Handbook release in the Search field, and select Submit.

As FCA/PRA designation applies across the Handbooks, all modules are being re-released this month. 'N/A' in the Board Date column indicates that a module has had designation applied but its text has not been changed by legal instrument. For further information, please see our *Guide to designation* http://media.fshandbook.info/extra/guide_to_designation.pdf.

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 135)						

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Entire Glossary	Sections 1, 5, and A-Z	All	All	All	210	26 July 2012 27 Sep 2012 13 Dec 2012 17 Jan 2013 21 Feb 2013 28 Feb 2013 7 Mar 2013 19 Mar 2013 22 Mar 2013	1 April 2013
HIGH LEVEL STANDARDS							
PRIN: PRINCIPLES FOR BUSINESSES (last updated in Release 128)							
Entire module	4 chapters; 1 TP; 6 Schedules	All	All	All	19	19 Mar 2013	1 April 2013
SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROLS (last updated in Release 133)							
Entire module	23 chapters; 1 Appendix; 4 TPs; 6 Schedules	All	All	All	135	19 Mar 2013 22 Mar 2013	1 April 2013
COND: THRESHOLD CONDITIONS (last updated in Release 127)							
Entire module	3 chapters; 1 TP; 6 Schedules	All	All	All	30	19 Mar 2013	1 April 2013
APER: STATEMENTS OF PRINCIPLE AND CODE OF PRACTICE FOR APPROVED PERSONS (last updated in Release 128)							
Entire module	4 chapters; 1 TP; 6 Schedules	All	All	All	32	N/A	1 April 2013
FIT: THE FIT AND PROPER TEST FOR APPROVED PERSONS (last updated in Release 127)							

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
Entire module	2 chapters; 1 TP; 6 Schedules	All	All	All	13	19 Mar 2013 22 Mar 2013	1 April 2013
FINMAR: FINANCIAL STABILITY AND MARKET CONFIDENCE SOURCEBOOK (last updated in Release 131)							
Entire module	3 chapters; 6 Schedules	All	All	All	19	N/A	1 April 2013
TC: TRAINING AND COMPETENCE (last updated in Release 133)							
Entire module	3 chapters; 8 Appendices; 8 TPs; 6 Schedules	All	All	All	62	19 Mar 2013 22 Mar 2013	1 April 2013
GEN: GENERAL PROVISIONS (last updated in Release 131)							
Entire module	6 chapters; 2 TPs; 6 Schedules	All	All	All	38	28 Feb 2013 7 Mar 2013 19 Mar 2013 22 Mar 2013	1 April 2013
FEES: FEES MANUAL (last updated in Release 133)							
Entire module	7 chapters; 1 Appendix; 8 TPs; 6 Schedules	All	All	All	164	13 Dec 2012 17 Jan 2013 21 Feb 2013 19 Mar 2013 22 Mar 2013	1 April 2013
PRUDENTIAL STANDARDS							
GENPRU: GENERAL PRUDENTIAL SOURCEBOOK (last updated in Release 133)							
Entire module	3 chapters; 17 TPs; 6 Schedules	All	All	All	143	N/A	1 April 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
BIPRU: PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES AND INVESTMENT FIRMS (last updated in Release 134)							
Entire module	14 chapters; 34 TPs; 6 Schedules	All	All	All	514	19 Mar 2013 22 Mar 2013	1 April 2013
INSPRU: PRUDENTIAL SOURCEBOOK FOR INSURERS (last updated in Release 133)							
Entire module	9 chapters; 1 TP; 6 Schedules	All	All	All	145	N/A	1 April 2013
MIPRU: PRUDENTIAL SOURCEBOOK FOR MORTGAGE AND HOME FINANCE FIRMS, AND INSURANCE INTERMEDIARIES (last updated in Release 124)							
Entire module	5 chapters; 1 TP; 6 Schedules	All	All	All	34	19 Mar 2013 22 Mar 2013	1 April 2013
UPRU: PRUDENTIAL SOURCEBOOK FOR UCITS FIRM (last updated in Release 115)							
Entire module	2 chapters; 1 TP; 6 Schedules	All	All	All	16	N/A	1 April 2013
IPRU-FSOC: INTERIM PRUDENTIAL SOURCEBOOK FOR FRIENDLY SOCIETIES (last updated in Release 133)							
Entire module	8 chapters; 10 Appendices; 8 Annexes	All	All	All	136	19 Mar 2013 22 Mar 2013	1 April 2013
IPRU-INS: INTERIM PRUDENTIAL SOURCEBOOK FOR INSURERS (last updated in Release 133)							
Entire module		All	All	All	233	N/A	1 April 2013
IPRU-INV: INTERIM PRUDENTIAL SOURCEBOOK FOR INVESTMENT BUSINESSES (last updated in Release 128)							
Entire module		All	All	All	188	19 Mar 2013 22 Mar 2013	1 April 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
BUSINESS STANDARDS							
COBS: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 135)							
Entire module	21 chapters; 2 TPs; 6 Schedules	All	All	All	243	31 Oct 2012 19 Mar 2013 22 Mar 2013	1 April 2013
ICOB: INSURANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 133)							
Entire module	8 chapters; 2 TPs; 6 Schedules	All	All	All	60	26 July 2012 13 Dec 2012 19 Mar 2013 22 Mar 2013	1 April 2013
MCOB: MORTGAGES AND HOME FINANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 131)							
Entire module	13 chapters; 3 TPs; 6 Schedules	All	All	All	233	19 Mar 2013 22 Mar 2013	1 April 2013
BCOB: BANKING: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 127)							
Entire module	6 chapters; 1 TP; 6 Schedules	All	All	All	32	N/A	1 April 2013
CASS: CLIENT ASSETS (last updated in Release 133)							
Entire module	12 chapters; 1 TP; 6 Schedules	All	All	All	93	19 Mar 2013 22 Mar 2013	1 April 2013
MAR: MARKET CONDUCT (last updated in Release 128)							
Entire module	8 chapters; 1 TP; 6 Schedules	All	All	All	85	19 Mar 2013	1 April 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
REGULATORY PROCESSES							
SUP: SUPERVISION (last updated in Release 135)							
Entire module	26 chapters; 3 Appendices; 6 Schedules	All	All	All	543	17 Jan 2013 19 Mar 2013 22 Mar 2013	1 April 2013
DEPP: DECISION PROCEDURES AND PENALTIES MANUAL (last updated in Release 131)							
Entire module	8 chapters; 1 TP; 6 Schedules	All	All	All	66	13 Dec 2012 19 Mar 2013	1 April 2013
REDRESS							
DISP: DISPUTE RESOLUTION: COMPLAINTS (last updated in Release 133)							
Entire module	6 chapters (including Introduction); 3 Appendices; 1 TP; 6 Schedules	All	All	All	87	17 Jan 2013 19 Mar 2013 22 Mar 2013	1 April 2013
CONRED: CONSUMER REDRESS SCHEMES (new with this release)							
New module	2 chapters; 1 Appendix; 6 Schedules	-	-	All	47	13 Dec 2012	1 April 2013
COMP: COMPENSATION (last updated in Release 130)							
Entire module	20 chapters; 1 TP; 6 Schedules	All	All	All	104	27 Sep 2012 17 Jan 2013	1 April 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
COAF: COMPLAINTS AGAINST THE FSA (revoked in its entirety in this release)							
Entire module	2 chapters; 1 TP; 6 Schedules	All	All	-	-	N/A	1 April 2013
SPECIALIST SOURCEBOOKS							
BSOCS: BUILDING SOCIETIES SOURCEBOOK (last updated in Release 103)							
Entire module	6 chapters; 1 TP; 6 Schedules	All	All	All	49	N/A	1 April 2013
COLL: COLLECTIVE INVESTMENT SCHEMES (last updated in Release 134)							
Entire module	10 chapters; 1 Appendix; 1 TP; 6 Schedules	All	All	All	243	N/A	1 April 2013
CREDS: CREDIT UNIONS NEW SOURCEBOOK (last updated in Release 129)							
Entire module	10 chapters; 1 Appendix; 1 TP; 6 Schedules	All	All	All	52	19 Mar 2013 22 Mar 2013	1 April 2013
PROF: PROFESSIONAL FIRMS (last updated in Release 126)							
Entire module	7 chapters; 1 TP; 6 Schedules	All	All	All	33	27 Sep 2012 19 Mar 2013 22 Mar 2013	1 April 2013
RCB: REGULATED COVERED BONDS (last updated in Release 133)							
Entire module	6 chapters; 6 Schedules	All	All	All	37	N/A	1 April 2013
REC: RECOGNISED INVESTMENT EXCHANGES (last updated in Release 134)							
Entire module	9 chapters; 1 TP; 6 Schedules	All	All	All	105	19 Mar 2013	1 April 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>

*** *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.

