



**BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY**

Release Handbook Summary

Release 139

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 June 2013 and 6 July 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 138)						

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
A		A5 – A6 A9 – A16	1 4	A5 – A6 A9 – A16	1 4	Minor and non- legal change 29 May 2013	6 Jul 2013 10 Jun 2013
B		B1 – B2	1	B1 – B2	1	Minor and non- legal change	6 Jul 2013
C		C7 – C8 C27 – C28	1 1	C7 – C8 C27 – C28	1 1	Minor and non- legal change	6 Jul 2013
D		D5 – D6	1	D5 – D6	1	Minor and non- legal change	6 Jul 2013
E		E3 – E24	11	E3 – E24	11	29 May 2013	10 Jun 2013
F		F3 – F16	7	F3 – F16	7	29 May 2013	10 Jun 2013
G		G5 – G6	1	G5 – G6	1	Minor and non- legal change	6 Jul 2013
I		I15 – I18 I25 – I30	2 3	I15 – I18 I25 – I30	2 3	29 May 2013	10 Jun 2013
L		L5 – L6	1	L5 – L6	1	Minor and non- legal change	6 Jul 2013
M		M15 – M26	6	M15 – M26	6	29 May 2013	10 Jun 2013
P		P1 – P22 P27 – P28 P33 – P34	11 1 1	P1 – P22 P27 – P28 P33 – P34	11 1 1	Minor and non- legal change 29 May 2013	10 Jun 2013 6 Jul 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
R		R9 – R16 R31 – R34	4 2	R9 – R16 R31 – R34	4 2	29 May 2013	10 Jun 2013
U		U5 – U10	3	U5 – U10	3	29 May 2013	10 Jun 2013
HIGH LEVEL STANDARDS							
SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROLS (last updated in Release 137)							
Chapter 10	10.2.3	11 – 12	1	11 – 12	1	Minor and non-legal change	6 Jul 2013
GEN: GENERAL PROVISIONS (last updated in Release 137)							
Chapter 1	1.2.2	3 – 4	1	3 – 4	1	27 Jun 2013	1 Jul 2013
Schedule 4	4.2; 4.5	3 – 6	2	3 – 6	2	Minor and non-legal change	6 Jul 2013
FEES: FEES MANUAL (last updated in Release 138)							
Chapter 3	3.2.3	3 – 6	2	3 – 6	2	Minor and non-legal change 27 Jun 2013	1 Jul 2013
	Annex 2	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Jun 2013	1 Jul 2013
	Annex 5	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	21 Feb 2013 27 Jun 2013	1 Apr 2013 1 Jul 2013
Chapter 4	4.1.3; 4.2.4; 4.2.11; 4.3.6	1 – 24	12	1 – 24	12	27 Jun 2013	1 Jul 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	3 – 4 9 – 10 21 – 24	1 1 2	3 – 4 9 – 10 21 – 24	1 1 2	27 Jun 2013	1 Jul 2013
Annex 2A	Entire Ann: 1 – 6	3	Entire Ann: 1 – 6	3	27 Jun 2013	1 Jul 2013
Annex 2B	Entire Ann: 1 – 4	2	Entire Ann: 1 – 8	4	27 Jun 2013	1 Jul 2013
Annex 4	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Jun 2013	1 Jul 2013
Annex 5	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Jun 2013	1 Jul 2013
Annex 6	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Jun 2013	1 Jul 2013
Annex 7	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Jun 2013	1 Jul 2013
Annex 8	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Jun 2013	1 Jul 2013
Annex 9	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Jun 2013	1 Jul 2013
Annex 10	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	27 Jun 2013	1 Jul 2013
Annex 11	5 – 8	2	5 – 8	2	27 Jun 2013	1 Jul 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	5 Annex 1	Entire Ann: 1 – 4	2	Entire Ann: 1 – 4	2	27 Jun 2013	1 Jul 2013
Chapter 6	6 Annex 3A	5 – 10	3	5 – 10	3	27 Jun 2013	1 Jul 2013
Chapter 7	7 Annex 1	Entire Ann: 1 – 6	3	Entire Ann: 1 – 4	2	27 Jun 2013	1 Jul 2013
Appendix 1	Annex 1	5 – 6	1	5 – 6	1	27 Jun 2013	1 Jul 2013
PRUDENTIAL STANDARDS							
GENPRU: GENERAL PRUDENTIAL SOURCEBOOK (last updated in Release 137)							
Chapter 2	Annex 8	Entire Ann: 1 – 10	5	Entire Ann: 1 – 10	5	Minor and non- legal change	6 Jul 2013
Chapter 3	3.1.1; 3.1.3; 3.1.13; 3.1.17-18; 3.1.20-24; 3.1.26-29; 3.1.29A [new]; 3.1.30; 3.1.31; 3.1.39	Entire Ch: 1 – 16	8	Entire Ch: 1 – 14	7	29 May 2013	10 Jun 2013
	Annex 1	Entire Ann: 1 – 10	5	Entire Ann: 1 – 10	5	29 May 2013	10 Jun 2013
BIPRU: PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES AND INVESTMENT FIRMS (last updated in Release 138)							
Chapter 1	1.3.3; 1.3.4; 1.3.8	19 – 22	2	19 – 22	2	29 May 2013	10 Jun 2013
Chapter 3	3.2.25	9 – 10	1	9 – 10	1	29 May 2013	10 Jun 2013
Chapter 4	4.2.3; 4.2.26	7 – 8	1	7 – 8	1	29 May 2013	10 Jun 2013
		13 – 16	2	13 – 16	2		

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	6.5.31-32	27 – 28	1	27 – 28	1	29 May 2013	10 Jun 2013
Chapter 7	7.10.5	107 – 108	1	107 – 108	1	Minor and non-legal change	6 Jul 2013
Chapter 8	8.2.1; 8.2.4; 8.3.1; 8.5.1	3 – 6 15 – 18	2 2	3 – 6 15 – 18	2 2	29 May 2013	10 Jun 2013
	Annex 4	Entire Ann: 1 – 2	1	Entire Ann: 1 – 2	1	29 May 2013	10 Jun 2013
Chapter 9	9.15.7-8	57 – 60	2	57 – 60	2	29 May 2013	10 Jun 2013
Chapter 10	10.8A.2	29 – 32	2	29 – 32	2	29 May 2013	10 Jun 2013
Chapter 11	11.2.4-5; 11.4.5	3 – 4	1	3 – 4	1	29 May 2013	10 Jun 2013
		9 – 10	1	9 – 10	1		
INSPRU: PRUDENTIAL SOURCEBOOK FOR INSURERS (last updated in Release 138)							
Chapter 6	6.1.1; 6.1.3; 6.1.5; 6.1.5A [new]; 6.1.6; 6.1.17; 6.1.19; 6.1.23; 6.1.25; 6.1.27; 6.1.29; 6.1.34; 6.1.38-39; 6.1.42; 6.1.44; 6.1.62-63; 6.1.64A [new]; 6.1.78	Entire Ch: 1 – 26	13	Entire Ch: 1 – 28	14	29 May 2013	10 Jun 2013
UPRU: PRUDENTIAL SOURCEBOOK FOR UCITS FIRM (last updated in Release 137)							
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 Jun 2013	1 Jul 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
IPRU-INS: INTERIM PRUDENTIAL SOURCEBOOK FOR INSURERS (last updated in Release 136)							
Chapter 9	9.42E; 9.43	41 – 56	8	41 – 58	9	29 May 2013 Minor and non- legal change	6 Jul 2013 10 Jun 2013
IPRU-INV: INTERIM PRUDENTIAL SOURCEBOOK FOR INVESTMENT BUSINESSES (last updated in Release 138)							
Chapter 3	Appendix 1	13 – 16	2	13 – 16	2	27 Jun 2013	1 Jul 2013
Chapter 5	5.2.3(2)(ii)(c); 5.2.3(3)(a)(i); Table 5.2.3(5)(a); Table 5.2.3(5)(e)	3 – 10 15 – 24	4 5	3 – 10 15 – 24	4 5	27 Jun 2013	1 Jul 2013
	Appendix 1	Entire App: 1 – 16	8	Entire App: 1 – 16	8	27 Jun 2013	1 Jul 2013
BUSINESS STANDARDS							
COBS: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 138)							
Chapter 11	11.2.1	3 – 4	1	3 – 4	1	Minor and non- legal change	6 Jul 2013
Chapter 14	14.2.1A	3 – 6	2	3 – 6	2	27 Jun 2013	1 Jul 2013
MCOB: MORTGAGES AND HOME FINANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 137)							
Chapter 6	6.5.6	13 – 14	1	13 – 14	1	27 Jun 2013	1 Jul 2013
CASS: CLIENT ASSETS SOURCEBOOK (last updated in Release 137)							
Chapter 7	7.2.8B	11 – 12	1	11 – 12	1	27 Jun 2013	1 Jul 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
MAR: MARKET CONDUCT (last updated in Release 137)							
Chapter 2	2.1.2	1 – 2	1	1 – 2	1	27 Jun 2013	1 Jul 2013
REGULATORY PROCESSES							
SUP: SUPERVISION (last updated in Release 138)							
Chapter 8	8.2.3-5	3 – 4	1	3 – 4	1	27 Jun 2013	1 Jul 2013
Chapter 10B	10B.14.1	29 – 30	1	29 – 30	1	Minor and non-legal change	6 Jul 2013
Chapter 15	15.9.5 [new]	27 – 28	1	27 – 28	1	29 May 2013	10 Jun 2013
Chapter 16	16.12.33	177 – 180	2	177 – 180	2	29 May 2013	10 Jun 2013
DEPP: DECISION PROCEDURE AND PENALTIES MANUAL (last updated in Release 137)							
Chapter 2	2.5.13-15	11 – 12	1	11 – 12	1	27 Jun 2013	1 Jul 2013
	Annex 1	5 – 14	5	5 – 16	6	27 Jun 2013	1 Jul 2013
	Annex 2	Entire Ann: 1 – 4	2	Entire Ann: 1 – 4	2	27 Jun 2013	1 Jul 2013
REDRESS							
CONRED: CONSUMER REDRESS SCHEMES SOURCEBOOK (last updated in Release 137)							
Chapter 2	Annex 13	15 – 16	1	15 – 16	1	27 Jun 2013	1 Jul 2013

CHANGES TO SOURCEBOOK OR MANUAL		REMOVE		INSERT		BOARD DATE	EFFECTIVE DATE
		Page number	Number of sheets/ leaves	Page number	Number of sheets/ leaves		
COMP: COMPENSATION (last updated in Release 137)							
Chapter 5	5.5.1-2	9 – 12	2	9 – 12	2	27 Jun 2013	1 Jul 2013
SPECIALIST SOURCEBOOKS							
COLL: COLLECTIVE INVESTMENT SCHEMES (last updated in Release 137)							
Chapter 1	1.1.1; 1.1.1C; 1.2.1A; 1.2.2	Entire Ch: 1 – 6	3	Entire Ch: 1 – 6	3	27 Jun 2013	1 Jul 2013
Chapter 2	2.1.3; 2.1.5	Entire Ch: 1 – 4	2	Entire Ch: 1 – 4	2	27 Jun 2013	1 Jul 2013
Chapter 3	3.1.1; 3.1.2; 3.2.1; 3.2.3A [new]; 3.2.5; 3.2.6; 3.3.1; 3.3.8; 3.3.10	Entire Ch: 1 – 14	7	Entire Ch: 1 – 16	8	27 Jun 2013	1 Jul 2013
Chapter 4	4.1.1; 4.2.3; 4.2.5; 4.3.2; 4.3.6A; 4.3.10; 4.4.2; 4.4.8; 4.4.11; 4.4.13; 4.5.7; 4.5.8B; 4.5.10; 4.6.1; 4.7.1; 4.8.1	Entire Ch: 1 – 70	35	Entire Ch: 1 – 72	36	27 Jun 2013	1 Jul 2013
Chapter 5	5.2.1-2; 5.2.28; 5.2.30; 5.3.5; 5.4.3-4; 5.5.1-2; 5.5.4; 5.5.7; 5.5.9; 5.6.18; 5.6.20	Entire Ch: 1 – 86	43	Entire Ch: 1 – 88	44	27 Jun 2013	1 Jul 2013
Chapter 6	6.1.1; 6.1.3; 6.2.2; 6.2.6-8; 6.2.10; 6.2.13; 6.2.14; 6.2.16; 6.2.20; 6.4.1-6; 6.4.6A-B [new]; 6.4.7; 6.4.9; 6.5.2; 6.5.7-10; 6.6.2-3; 6.6.3A-B [new]; 6.6.5A-B; 6.6.8; 6.6.13; 6.6.15; 6.7.2; 6.7.15; 6.9.2; 6.9.3; 6.9.6; 6.9.10	Entire Ch: 1 – 84	42	Entire Ch: 1 – 86	43	27 Jun 2013	1 Jul 2013
Chapter 7	7.1.1-3; 7.4A [new section]; 7.5.1; 7.5.2; 7.6.1-2; 7.7.1; 7.7.4; 7.7.6; 7.7.15	Entire Ch: 1 – 38	19	Entire Ch: 1 – 48	24	27 Jun 2013	1 Jul 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	8.1.1; 8.1.3-4; 8.2.6; 8.3.2; 8.3.4; 8.3.5A; 8.3.5E; 8.4.9; 8.4.10; 8.4.11; 8.5.2; 8.5.3A-B; 8.5.8; 8.5.10 8.5.10B-E [new]; 8.6.5R	Entire Ch: 1 – 44	22	Entire Ch: 1 – 50	25	27 Jun 2013	1 Jul 2013
	Annex 1	Entire Ann: 1 – 4	2	Entire Ann: 1 – 4	2	27 Jun 2013	1 Jul 2013
	Annex 2	[new]	[new]	Entire Ann: 1 – 2	1	27 Jun 2013	1 Jul 2013
Chapter 11	11.1.1-2; 11.3.10; 11.4.5; 11.5.5; 11.6.1-2; 11.6.3; 11.6.5; 11.6.10-11; 11.6.13R	Entire Ch: 1 – 24	12	Entire Ch: 1 – 24	12	27 Jun 2013	1 Jul 2013
Chapter 12	12.1.1; 12.1.2; 12.3.1-2; 12.4.1; 12.4.7	Entire Ch: 1 – 16	8	Entire Ch: 1 – 16	8	27 Jun 2013	1 Jul 2013
Schedule 2		Entire Sch: 1 – 4	2	Entire Sch: 1 – 4	2	27 Jun 2013	1 Jul 2013
Schedule 6		Entire Sch: 1 – 2	1	Entire Sch: 1 – 2	1	27 Jun 2013	1 Jul 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.*

