



**BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY**

Release Handbook Summary

Release 142

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 September 2013 and 6 October 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:

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GLOSSARY (last updated in Release 141)						

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S		S15 – S34	10	S15 – S34	10	3 October 2013	4 October 2013
T		T7 – T8	1	T7 – T8	1	Minor and non- legal change	4 October 2013
U		U9 – U10	1	U9 – U10	1	3 October 2013	4 October 2013
HIGH LEVEL STANDARDS							
SYSC: SENIOR MANAGEMENT ARRANGEMENTS, SYSTEMS AND CONTROLS (last updated in release 140)							
Chapter 4	4.2.8;	7 – 8	1	7 – 8	1	26 September 2013	1 October 2013
APER: STATEMENTS OF PRINCIPLE AND CODE OF PRACTICE FOR APPROVED PERSONS (last updated in release 136)							
Chapter 1	1.1B.4;	5 – 6	1	5 – 6	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013

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GEN: GENERAL PROVISIONS (last updated in release 140)							
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FEES: FEES MANUAL (last updated in Release 141)							
Chapter 1	1.1.2;	3-4	1	3-4	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
Chapter 2	2.2.2-2.2.3;	5 – 6	1	5 – 6	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
Chapter 3	Annex 9	1 – 2	1	1 – 2	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
Chapter 4	Annex 12	1 – 2	1	1 – 2	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
Chapter 6	6.1.7; 6.4.7; 6.5.2; 6.5.6;	3 – 6 17 – 18 21 – 25	2 1 2	3 – 6 17 – 18 21 – 25	2 1 2	27 June 2013 3 October 2013	1 July 2013 4 October 2013

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TP 8		1 – 2	1	1 – 2	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
PRUDENTIAL STANDARDS							
BIPRU: PRUDENTIAL SOURCEBOOK FOR BANKS, BUILDING SOCIETIES AND INVESTMENT FIRMS (last updated in Release 140)							
Chapter 1	1.3.10;	19 – 20	1	19 – 20	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
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INSPRU: PRUDENTIAL SOURCEBOOK FOR INSURERS (last updated in Release 141)							
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Chapter 7	7.1.3A;	1 – 2	1	1 – 2	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
IPRU-FSOC: INTERIM PRUDENTIAL SOURCEBOOK FOR FRIENDLY SOCIETIES (last updated in Release 140)							
Annex 5		1 – 4	2	1 – 4	2	3 October 2013	4 October 2013
IPRU-INS: INTERIM PRUDENTIAL SOURCEBOOK FOR INSURERS (last updated in Release 139)							
Appendix 9		1 – 2	1	1 – 2	1	3 October 2013	4 October 2013
IPRU-INV: INTERIM PRUDENTIAL SOURCEBOOK FOR INVESTMENT BUSINESSES (last updated in Release 141)							
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BUSINESS STANDARDS							

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COBS: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 141)							
Chapter 20	20.3.8;	31 – 32	1	31 – 32	1	26 September 2013	1 October 2013
ICOB: INSURANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 140)							
Chapter 2	2.1.3;	1 – 4	2	1 – 4	2	26 September 2013	1 October 2013
Chapter 5	5.1.4;	3 – 4	1	3 – 4	1	26 September 2013	1 October 2013
Chapter 8	8.1.2; 8.1.3[new];	1 – 18	9	1 – 18	9	26 September 2013	1 October 2013
MCOB: MORTGAGES AND HOME FINANCE: CONDUCT OF BUSINESS SOURCEBOOK (last updated in Release 140)							
Chapter 10	10.3.1;	3 – 4	1	3 – 4	1	26 September 2013	1 October 2013
CASS: CLIENT ASSETS (last updated in Release 140)							
Chapter 6	6.1.16IA;	7 – 8	1	7 – 8	1	26 September 2013 Minor and non- legal change	1 October 2013 4 October 2013
Chapter 7	7.2.15-7.2.15C;	13 – 32	10	13 – 34	11	26 September 2013	1 October 2013

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MAR: MARKET CONDUCT (last updated in Release 140)							
Chapter 7	7.2.14;	7 – 8	1	7 – 8	1	Minor and non- legal change	4 October 2013
REGULATORY PROCESS							
SUP: SUPERVISION (last updated in Release 140)							
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Chapter 6	6.1.2; 6.3.12;	1 – 2	1	1 – 2	1	27 June 2013	1 July 2013
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Chapter 21	21.1.2;	1 – 2	1	1 – 2	1	26 September 2013	1 October 2013

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REDRESS							
DISP: DISPUTE RESOLUTIONS: COMPLAINTS (last updated in Release 140)							
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COMP: COMPENSATION (last updated in Release 140)							
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Chapter 10	10.2.13;	5 – 6	1	5 – 6	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
Chapter 14	14.1.5;	3 – 4	1	3 – 4	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
Schedule 1		1 – 2	1	1 – 2	1	27 June 2013 3 October 2013	1 July 2013 4 October 2013
SPECIALIST SOURCEBOOKS							
COLL: COLLECTIVE INVESTMENT SCHEMES (last updated in Release 140)							
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FUND: INVESTMENT FUNDS SOURCEBOOK (last updated in Release 140)							
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REC: RECOGNISED INVESTMENT EXCHANGES (last updated in Release 138)							
Chapter 6	6.1.2;	1 – 2	1	1 – 2	1	Minor and non- legal change	4 October 2013

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