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Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)1.2.2	Bradford & Bingley Plc	106126	19/08/2015	18/08/2016	Waiver
IPRU(INV)1.2.2 (1)	Bradford & Bingley Plc	106126	18/08/2010	18/08/2015	Waiver
IPRU(INV)1.2.2 (1R)	Bradford & Bingley Plc	106126	10/08/2016	09/08/2021	Modification
IPRU(INV)1.2.5	Bradford & Bingley Plc	106126	18/08/2010	18/08/2015	Waiver
IPRU(INV)1.2.5	Bradford & Bingley Plc	106126	19/08/2015	18/08/2016	Waiver
IPRU(INV)1.2.5 (R)	Bradford & Bingley Plc	106126	10/08/2016	09/08/2021	Modification
IPRU(INV)2.2 (2)	Alta Berkeley LLP	457039	07/12/2009	06/12/2010	Modification
IPRU(INV)2.2.R	The Analyst Research LLP	605593	13/12/2016	31/01/2017	Modification
IPRU(INV)3.1	BP Oil International Limited	140457	21/11/2003		Modification
IPRU(INV)3.1	BP Oil International Limited	140457	31/10/2006	31/10/2007	Modification
IPRU(INV)3.1	BP Oil International Limited	140457	01/11/2007	31/10/2012	Modification
IPRU(INV)3.1	BP Oil International Limited	140457	18/10/2012	31/10/2015	Modification
IPRU(INV)3.1	Conocophillips (UK) Limited	106256	03/11/2003		Waiver
IPRU(INV)3.1	Conocophillips (UK) Limited	106256	18/09/2007		Waiver
IPRU(INV)3.1	Glencore Commodities Limited	139967	21/11/2003		Waiver
IPRU(INV)3.1	Glencore Commodities Limited	139967	01/11/2015	31/01/2016	Waiver
IPRU(INV)3.1	Glencore Commodities Limited	139967	31/10/2012	31/10/2015	Modification
IPRU(INV)3.1	Glencore Commodities Limited	139967	12/02/2009	31/10/2012	Modification
IPRU(INV)3.1	Shell International Trading and Shipping Company Limited	171941	01/11/2007	31/12/2010	Waiver
IPRU(INV)3.1	Shell International Trading and Shipping Company Limited	171941	01/01/2011	31/12/2014	Modification
IPRU(INV)3.41 (9)	Koch Metals Trading Limited	184882	01/10/2005	01/10/2010	Modification
IPRU(INV)3.41.9	Mitsui Bussan Commodities Ltd	469094	30/12/2011	31/01/2014	Modification
IPRU(INV)3.41.9	Mitsui Bussan Commodities Ltd	469094	30/01/2014	31/07/2014	Modification
IPRU(INV)3.41.9	Mitsui Bussan Commodities Ltd	469094	31/12/2010	31/12/2011	Modification
IPRU(INV)3.60 (1)	Richard Lane	196066	31/12/2006	31/12/2007	Modification
IPRU(INV)3.60.1 (1)	Van der Moolen Derivatives Limited	207956	29/09/2006	29/09/2007	Waiver
IPRU(INV)3.60.(3) (R)	Spring Ventures LLP	592311	11/07/2016	10/10/2016	Modification

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IPRU(INV)3.60 (4)	CTC London Ltd	225747	31/12/2007	30/06/2008	Modification
IPRU(INV)3.60 (4)	DRW Investments (UK) Ltd	143880	31/12/2007	30/06/2008	Modification
IPRU(INV)3.60 (4)	Eden Rock Securities Limited	195321	31/12/2007	30/06/2008	Modification
IPRU(INV)3.60 (4)	Liquid Capital Markets Limited	192744	31/12/2007	30/06/2008	Modification
IPRU(INV)3.60 (4)	Mako Fixed Income Partnership LLP	210887	31/12/2007	30/06/2008	Modification
IPRU(INV)3.60 (4)	Mako Global Derivatives Partnership LLP	231154	31/12/2007	30/06/2008	Modification
IPRU(INV)3.60 (4)	Saxon Financials Ltd	220220	31/12/2007	30/06/2008	Modification
IPRU(INV)3.60 (4)	Tradelink Worldwide Limited	190867	31/12/2007	30/06/2008	Modification
IPRU(INV)3.60 (4)	TransMarket Group Limited	196476	31/12/2007	30/06/2008	Modification
IPRU(INV)3.60 (4)	Van der Moolen Derivatives Limited	207956	31/12/2007	30/06/2008	Modification
IPRU(INV)3.61	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.61	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.61	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.61	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.61	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.61	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.61	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.61	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.61	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.61	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.61	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.61	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.61	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.61	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.61	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.61	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.61	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.61	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.61	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.61	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver

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IPRU(INV)3.61	Mako Global Derivatives Partnership LLP	231154	21/06/2005		Modification
IPRU(INV)3.61	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.61	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.61	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.61	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.61	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.61	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.61	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.61	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.61	Sun Trading International Limited	432732	03/04/2006	02/04/2008	Modification
IPRU(INV)3.61	Sun Trading International Limited	432732	02/04/2008	12/01/2009	Modification
IPRU(INV)3.61	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.61	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.61	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.61	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.61	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.61	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.61	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.61.182	CTC London Ltd	225747	10/10/2003	31/12/2006	Modification
IPRU(INV)3.62	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.62	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.62	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.62	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.62	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.62	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.62	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.62	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.62	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.62	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.62	Foster A S	114113	15/08/2002	15/05/2003	Waiver

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IPRU(INV)3.62	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.62	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.62	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.62	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.62	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.62	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.62	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.62	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.62	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.62	Mako Global Derivatives Partnership LLP	231154	21/06/2005		Modification
IPRU(INV)3.62	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.62	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.62	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.62	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.62	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.62	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.62	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.62	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.62	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.62	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.62	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.62	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.62	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.62	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.62	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.63	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.63	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.63	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.63	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.63	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification

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IPRU(INV)3.63	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.63	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.63	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.63	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.63	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.63	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.63	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.63	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.63	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.63	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.63	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.63	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.63	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.63	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.63	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.63	Mako Global Derivatives Partnership LLP	231154	21/06/2005		Modification
IPRU(INV)3.63	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.63	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.63	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.63	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.63	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.63	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.63	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.63	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.63	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.63	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.63	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.63	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.63	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.63	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver

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IPRU(INV)3.63.2	Merrill Lynch Commodities (Europe) Limited	465826	31/10/2007	31/12/2010	Modification
IPRU(INV)3.63 (2)	Merrill Lynch Commodities (Europe) Limited	465826	22/12/2010	31/12/2012	Modification
IPRU(INV)3.63 (3)	MB Commodities Ltd	148515	12/06/2008	13/07/2012	Modification
IPRU(INV)3.63 (3)	MB Commodities Ltd	148515	13/07/2012	31/07/2015	Modification
IPRU(INV)3.63.3	Merrill Lynch Commodities (Europe) Limited	465826	31/10/2007	31/12/2010	Modification
IPRU(INV)3.63 (3)	Merrill Lynch Commodities (Europe) Limited	465826	22/12/2010	31/12/2012	Modification
IPRU(INV)3.63 (3)	Mitsui Bussan Commodities Ltd	469094	01/04/2008	31/12/2010	Modification
IPRU(INV)3.63 (3)	Mitsui Bussan Commodities Ltd	469094	13/07/2012	31/07/2015	Modification
IPRU(INV)3.63 (3)	Mitsui Bussan Commodities Ltd	469094	02/11/2011	13/07/2012	Modification
IPRU(INV)3.63.3	Mitsui Bussan Commodities Ltd	469094	04/06/2015	03/06/2020	Modification
IPRU(INV)3.63.3	Toyota Tsusho Metals Limited	189983	18/11/2013	18/11/2018	Modification
IPRU(INV)3.63 (3)	Toyota Tsusho Metals Limited	189983	19/11/2008	18/11/2013	Modification
IPRU(INV)3.63 (3)	Toyota Tsusho Metals Limited	189983	19/11/2018	18/11/2023	Modification
IPRU(INV)3.64	Mako Global Derivatives Partnership LLP	231154	21/06/2005		Modification
IPRU(INV)3.65	Mako Global Derivatives Partnership LLP	231154	21/06/2005		Modification
IPRU(INV)3.70	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.70	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.70	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.70	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.70	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.70	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.70	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.70	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.70	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.70	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.70	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.70	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.70	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.70	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.70	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver

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IPRU(INV)3.70	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.70	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.70	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.70	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.70	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.70	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.70	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.70	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.70	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.70	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.70	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.70	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.70	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.70	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.70	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.70	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.70	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.70	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.70	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.70	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.71	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.71	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.71	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.71	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.71	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.71	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.71	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.71	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.71	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.71	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver

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IPRU(INV)3.71	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.71	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.71	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.71	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.71	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.71	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.71	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.71	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.71	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.71	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.71	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.71	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.71	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.71	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.71	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.71	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.71	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.71	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.71	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.71	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.71	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.71	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.71	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.71	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.71	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.72	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.72	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.72	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.72	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.72	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.72	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.72	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.72	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.72	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.72	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.72	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.72	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.72	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.72	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.72	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.72	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.72	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.72	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.72	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.72	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.72	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.72	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.72	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.72	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.72	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.72	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.72	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.72	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.72	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.72	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.72	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.72	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.72	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.72	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.72	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.73	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.73	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.73	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.73	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.73	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.73	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.73	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.73	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.73	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.73	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.73	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.73	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.73	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.73	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.73	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.73	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.73	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.73	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.73	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.73	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.73	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.73	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.73	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.73	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.73	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.73	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.73	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.73	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.73	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.73	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.73	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.73	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.73	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.73	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.73.2	Campbell Lutyens & Co. Ltd	196462	14/03/2013	14/03/2016	Modification
IPRU(INV)3.73 (2)	Sporting Index Limited	150404	02/02/2018	01/02/2020	Modification
IPRU(INV)3.74	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.74	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.74	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.74	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.74	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.74	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.74	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.74	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.74	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.74	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.74	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.74	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.74	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.74	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.74	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.74	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.74	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.74	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.74	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.74	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.74	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.74	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.74	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.74	Richard Lane	196066	20/06/2003	31/12/2006	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.74	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.74	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.74	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.74	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.74	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.74	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.74	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.74	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.74	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.74	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.74	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.75	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.75	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.75	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.75	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.75	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.75	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.75	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.75	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.75	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.75	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.75	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.75	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.75	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.75	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.75	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.75	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.75	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.75	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.75	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification

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IPRU(INV)3.75	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.75	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.75	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.75	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.75	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.75	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.75	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.75	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.75	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.75	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.75	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.75	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.75	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.75	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.75	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.75	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.76	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.76	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.76	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.76	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.76	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.76	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.76	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.76	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.76	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.76	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.76	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.76	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.76	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.76	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver

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IPRU(INV)3.76	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.76	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.76	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.76	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.76	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.76	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.76	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.76	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.76	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.76	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.76	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.76	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.76	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.76	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.76	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.76	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.76	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.76	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.76	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.76	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.76	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.77	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.77	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.77	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.77	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.77	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.77	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.77	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.77	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.77	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver

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IPRU(INV)3.77	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.77	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.77	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.77	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.77	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.77	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.77	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.77	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.77	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.77	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.77	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.77	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.77	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.77	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.77	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.77	Rose A M	148423	12/08/2002	12/08/2002	Waiver
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IPRU(INV)3.77	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.77	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.77	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.77	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.77	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.77	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.77	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.77	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.77	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.78	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.78	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.78	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.78	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.78	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.78	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.78	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.78	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.78	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.78	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.78	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.78	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.78	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.78	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.78	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.78	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.78	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.78	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.78	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.78	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.78	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.78	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.78	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.78	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.78	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.78	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.78	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.78	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.78	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.78	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.78	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.78	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.78	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.78	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.78	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.80	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.80	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.80	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.80	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.80	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.80	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.80	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.80	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.80	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.80	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.80	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.80	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.80	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.80	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.80	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.80	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.80	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.80	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.80	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.80	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.80	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.80	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.80	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.80	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.80	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.80	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.80	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.80	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.80	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.80	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.80	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.80	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.80	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.80	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.80	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.80 (2)	GF Financial Markets (UK) Limited	114237	11/10/2007	11/03/2010	Modification
IPRU(INV)3.80 (2)	Koch Metals Trading Limited	184882	01/10/2005	01/10/2010	Modification
IPRU(INV)3.80.2	Mitsui Bussan Commodities Ltd	469094	30/12/2011	31/01/2014	Modification
IPRU(INV)3.80.2	Mitsui Bussan Commodities Ltd	469094	30/01/2014	31/07/2014	Modification
IPRU(INV)3.80.2	Mitsui Bussan Commodities Ltd	469094	31/12/2010	31/12/2011	Modification
IPRU(INV)3.150	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.150	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.150	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.150	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.150	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.150	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.150	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.150	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.150	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.150	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.150	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.150	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.150	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.150	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.150	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.150	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.150	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.150	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.150	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.150	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.150	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.150	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.150	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.150	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.150	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.150	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.150	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.150	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.150	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.150	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.150	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.150	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.150	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.150	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.150	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.151	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.151	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.151	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.151	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.151	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.151	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.151	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.151	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.151	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.151	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.151	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.151	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.151	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.151	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.151	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.151	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.151	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.151	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.151	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.151	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.151	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.151	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.151	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.151	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.151	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.151	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.151	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.151	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.151	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.151	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.151	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.151	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.151	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.151	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.151	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.152	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.152	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.152	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.152	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.152	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.152	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.152	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.152	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.152	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver

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IPRU(INV)3.152	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.152	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.152	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.152	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.152	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.152	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.152	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.152	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.152	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.152	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.152	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.152	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.152	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.152	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.152	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.152	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.152	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.152	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.152	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.152	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.152	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.152	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.152	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.152	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.152	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.152	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.153	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.153	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.153	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.153	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.153	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.153	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.153	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.153	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.153	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.153	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.153	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.153	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.153	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.153	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.153	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.153	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.153	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.153	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.153	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.153	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.153	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.153	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.153	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.153	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.153	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.153	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.153	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.153	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.153	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.153	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.153	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.153	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.153	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.153	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.153	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.154	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.154	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.154	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.154	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.154	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.154	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.154	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.154	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.154	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.154	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.154	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.154	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.154	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.154	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.154	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.154	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.154	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.154	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.154	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.154	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.154	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.154	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.154	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.154	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.154	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.154	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.154	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.154	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.154	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.154	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.154	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.154	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.154	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.154	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.154	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.166	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.166	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.166	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.166	CSC Commodities UK Limited	794638	29/06/2018	30/06/2021	Modification
IPRU(INV)3.166	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.166	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.166	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.166	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.166	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.166	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.166	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.166	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.166	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.166	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.166	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.166	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.166	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.166	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.166	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.166	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.166	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.166	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.166	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.166	Richard Lane	196066	28/08/2002	28/05/2003	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.166	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.166	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.166	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.166	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.166	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.166	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.166	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.166	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.166	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.166	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.166	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.166	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.167	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.167	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.167	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.167	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.167	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.167	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.167	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.167	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.167	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.167	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.167	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.167	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.167	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.167	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.167	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.167	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.167	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.167	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.167	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.167	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.167	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.167	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.167	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.167	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.167	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.167	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.167	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.167	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.167	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.167	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.167	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.167	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.167	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.167	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.167	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.168	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.168	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.168	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.168	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.168	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.168	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.168	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.168	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.168	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.168	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.168	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.168	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.168	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver

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IPRU(INV)3.168	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.168	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.168	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.168	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.168	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.168	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.168	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.168	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.168	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.168	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.168	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.168	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.168	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.168	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.168	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.168	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.168	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.168	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.168	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.168	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.168	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.168	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.169	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.169	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.169	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.169	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.169	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.169	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.169	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.169	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver

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IPRU(INV)3.169	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.169	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.169	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.169	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.169	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.169	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.169	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.169	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.169	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.169	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.169	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.169	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.169	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.169	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.169	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.169	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.169	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.169	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.169	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.169	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.169	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.169	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.169	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.169	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.169	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.169	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.169	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.169.B	CSC Commodities UK Limited	794638	29/06/2018	30/06/2021	Modification
IPRU(INV)3.170	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.170	Chapman G	150413	09/08/2002	09/05/2003	Waiver

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IPRU(INV)3.170	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.170	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.170	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.170	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.170	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.170	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.170	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.170	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.170	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.170	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.170	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.170	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.170	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.170	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.170	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.170	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.170	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.170	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.170	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.170	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.170	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.170	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.170	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.170	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.170	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.170	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.170	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.170	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.170	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.170	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver

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IPRU(INV)3.170	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.170	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.170	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.171	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.171	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.171	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.171	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.171	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.171	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.171	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.171	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.171	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.171	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.171	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.171	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.171	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.171	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.171	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.171	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.171	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.171	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.171	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.171	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.171	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.171	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.171	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.171	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.171	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.171	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.171	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.171	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.171	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.171	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.171	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.171	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.171	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.171	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.171	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.173	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.173	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.173	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.173	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.173	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.173	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.173	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.173	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.173	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.173	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.173	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.173	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.173	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.173	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.173	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.173	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.173	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.173	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.173	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.173	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.173	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.173	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.173	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.173	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.173	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.173	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.173	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.173	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.173	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.173	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.173	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.173	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.173	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.173	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.175	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.175	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.175	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.175	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.175	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.175	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.175	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.175	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.175	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.175	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.175	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.175	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.175	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.175	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.175	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.175	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.175	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.175	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.175	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.175	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.175	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.175	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.175	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.175	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.175	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.175	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.175	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.175	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.175	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.175	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.175	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.175	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.175	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.175	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.175	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.176	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.176	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.176	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.176	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.176	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.176	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.176	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.176	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.176	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.176	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.176	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.176	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.176	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver

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IPRU(INV)3.176	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.176	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.176	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.176	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.176	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.176	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.176	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.176	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.176	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.176	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.176	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.176	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.176	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.176	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.176	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.176	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.176	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.176	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.176	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.176	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.176	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.176	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.176 (1)	Sumitomo Corporation Global Commodities Limited	538822	20/12/2011	30/11/2016	Modification
IPRU(INV)3.177	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.177	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.177	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.177	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.177	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.177	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.177	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver

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IPRU(INV)3.177	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.177	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.177	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.177	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.177	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.177	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.177	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.177	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.177	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.177	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.177	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.177	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.177	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.177	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.177	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.177	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.177	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.177	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.177	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.177	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.177	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.177	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.177	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.177	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.177	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.177	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.177	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.177	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.178	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.178	Chapman G	150413	09/08/2002	09/05/2003	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)3.178	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.178	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.178	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.178	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.178	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.178	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.178	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.178	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.178	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.178	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.178	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.178	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.178	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.178	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.178	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.178	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.178	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.178	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.178	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.178	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.178	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.178	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.178	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.178	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.178	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.178	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.178	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.178	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.178	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.178	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver

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IPRU(INV)3.178	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.178	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.178	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.180	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.180	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.180	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.180	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.180	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.180	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.180	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.180	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.180	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.180	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.180	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.180	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.180	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.180	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.180	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.180	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.180	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.180	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.180	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.180	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.180	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.180	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.180	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.180	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.180	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.180	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.180	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver

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IPRU(INV)3.180	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.180	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.180	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.180	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.180	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.180	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.180	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.180	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.181	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.181	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.181	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.181	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.181	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.181	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.181	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.181	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.181	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.181	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.181	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.181	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.181	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.181	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.181	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.181	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.181	Maidman J C	143671	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.181	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.181	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.181	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.181	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.181	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver

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IPRU(INV)3.181	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.181	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.181	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.181	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.181	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.181	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.181	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.181	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.181	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.181	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.181	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.181	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.181	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.182	Barnes Derivatives Limited	188145	30/08/2002	30/05/2003	Waiver
IPRU(INV)3.182	Chapman G	150413	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.182	City of London Options Ltd	124326	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.182	CTC London Ltd	225747	10/10/2003	31/12/2006	Waiver
IPRU(INV)3.182	Delta Based Strategies Limited	194527	12/08/2002	12/05/2003	Modification
IPRU(INV)3.182	Delta Based Strategies Limited	194527	25/06/2003	31/12/2006	Modification
IPRU(INV)3.182	DRW Investments (UK) Ltd	143880	18/09/2002	18/06/2003	Waiver
IPRU(INV)3.182	DRW Investments (UK) Ltd	143880	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.182	Eden Rock Securities Limited	195321	14/08/2002	14/05/2003	Waiver
IPRU(INV)3.182	Eden Rock Securities Limited	195321	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.182	Foster A S	114113	15/08/2002	15/05/2003	Waiver
IPRU(INV)3.182	Heddon M J	148419	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.182	Hills Independent Traders Ltd	143563	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.182	Hills Independent Traders Ltd	143563	25/06/2003	31/12/2006	Waiver
IPRU(INV)3.182	Larocque Trading Group UK Limited	192817	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.182	Liquid Capital Markets Limited	192744	23/03/2004	31/12/2006	Waiver
IPRU(INV)3.182	Maidman J C	143671	21/08/2002	21/05/2003	Waiver

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IPRU(INV)3.182	Mako Fixed Income Partnership LLP	210887	12/08/2002	12/05/2003	Waiver
IPRU(INV)3.182	Mako Fixed Income Partnership LLP	210887	19/06/2003	31/12/2006	Modification
IPRU(INV)3.182	Mako Global Derivatives Partnership LLP	231154	10/03/2004	10/03/2005	Waiver
IPRU(INV)3.182	Morris J L	146840	21/08/2002	21/05/2003	Waiver
IPRU(INV)3.182	Nordic Options Limited	186966	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.182	Richard Lane	196066	28/08/2002	28/05/2003	Waiver
IPRU(INV)3.182	Richard Lane	196066	20/06/2003	31/12/2006	Modification
IPRU(INV)3.182	Rose A M	148423	12/08/2002	12/08/2002	Waiver
IPRU(INV)3.182	Saxon Financials Ltd	220220	01/09/2003	31/12/2006	Waiver
IPRU(INV)3.182	Sonar Capital Limited	196490	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.182	Starmark Investment Management Limited	190249	02/06/2003	31/12/2006	Waiver
IPRU(INV)3.182	Sun Trading International Limited	432732	03/04/2006	02/04/2008	Modification
IPRU(INV)3.182	Sun Trading International Limited	432732	02/04/2008	12/01/2009	Modification
IPRU(INV)3.182	T B Williamson Limited	192660	09/08/2002	09/05/2003	Waiver
IPRU(INV)3.182	Tradelink Worldwide Limited	190867	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.182	Tradelink Worldwide Limited	190867	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.182	TransMarket Group Limited	196476	13/08/2002	13/05/2003	Waiver
IPRU(INV)3.182	TransMarket Group Limited	196476	19/06/2003	31/12/2006	Waiver
IPRU(INV)3.182	Wolverine Trading UK Limited	190655	12/08/2002	12/05/2003	Modification
IPRU(INV)3.182	Wolverine Trading UK Limited	190655	19/06/2003	31/12/2006	Waiver
IPRU(INV)5.2.2	Albion Capital Group LLP	492536	29/11/2013	28/02/2014	Modification
IPRU(INV)5.2.2	First State Investments International Limited	122512	28/08/2003	30/09/2005	Waiver
IPRU(INV)5.2.2	Generation Investment Management LLP	402126	16/03/2006	16/03/2009	Modification
IPRU(INV)5.2.2	Western Asset Management Company Limited	145930	28/04/2006	31/12/2006	Modification
IPRU(INV)5.2.2 (1)	Nationwide Unit Trust Managers Limited	177793	22/11/2005	31/10/2006	Modification
IPRU(INV)5.2.2 (1)	Scottish Widows Unit Trust Managers Limited	122129	04/11/2005	31/10/2006	Modification
IPRU(INV)5.2.3	Jarvis Investment Management Limited	116413	11/09/2002	31/12/2002	Modification
IPRU(INV)5.2.3	Washington Park Limited	191439	14/08/2002	31/12/2002	Modification
IPRU(INV)5.2.3	Worldover Capital LLP	464710	24/08/2007	31/10/2007	Modification
IPRU(INV)5.2.3 (1)	Baird Capital Partners Europe Limited	150154	10/09/2004		Modification

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IPRU(INV)5.2.3 (1)	Cognetas LLP	433970	24/10/2005	24/10/2007	Modification
IPRU(INV)5.2.3 (1)	HMD LP	228812	14/11/2005	13/11/2006	Modification
IPRU(INV)5.2.3 (1)	HMD LP	228812	08/11/2006	31/10/2007	Modification
IPRU(INV)5.2.3 (1)	Kennet Partners Limited	185343	20/12/2002		Waiver
IPRU(INV)5.2.3 (1)	Lion Capital LLP	401760	01/11/2004	01/11/2009	Modification
IPRU(INV)5.2.3 (1)	Nomura Investment Adviser LLP	456834	20/10/2006	31/10/2007	Modification
IPRU(INV)5.2.3 (1)	OpCapita LLP	457656	05/02/2007	31/10/2007	Modification
IPRU(INV)5.2.3 (1)	Silverfleet Capital Partners LLP	461079	07/03/2007	31/10/2007	Modification
IPRU(INV)5.2.3 (1)	TLcom Capital LLP	441120	03/04/2006	03/04/2007	Modification
IPRU(INV)5.2.3 (1)	TLcom Capital LLP	441120	20/03/2007	31/10/2007	Modification
IPRU(INV)5.2.3 (1)	TPG Europe, LLP	407891	07/02/2005	06/02/2006	Modification
IPRU(INV)5.2.3 (1)	TPG Europe, LLP	407891	06/02/2006	05/02/2007	Modification
IPRU(INV)5.2.3 (1)	TPG Europe, LLP	407891	06/02/2007	30/10/2007	Modification
IPRU(INV)5.2.3 (2)	Benson Elliot Capital Management LLP	447150	15/09/2011	31/07/2014	Modification
IPRU(INV)5.2.3 (4)	IM Life Sciences Limited	195896	14/02/2003	31/03/2003	Modification
IPRU(INV)5.2.3 (5)	Aviva Investors UK Fund Services Limited	119310	09/10/2002	30/04/2003	Modification
IPRU(INV)5.2.3 (5)	Econostat New Quant Limited	176756	20/08/2002	31/12/2003	Modification
IPRU(INV)5.2.3 (5)	MKM Longboat Capital Advisors LLP	210720	11/07/2006	30/06/2007	Modification
IPRU(INV)5.2.3 (5)	Prytania Investment Advisors LLP	230010	23/11/2004	30/04/2005	Modification
IPRU(INV)5.2.3 (5)	RPMH LLP	232042	05/12/2005	31/07/2006	Modification
IPRU(INV)5.2.3 (5)	Sandbourne Asset Management Limited	191306	02/12/2004	30/12/2005	Modification
IPRU(INV)5.2.3 (5)	Standard Life Investments (Mutual Funds) Limited	146477	11/03/2004		Modification
IPRU(INV)5.2.3 (5)	Threadneedle Asset Management Limited	122194	24/07/2006	31/12/2006	Modification
IPRU(INV)5.2.3 (5)	Western Asset Management Company Limited	145930	01/01/2007	01/01/2008	Modification
IPRU(INV)5.2.4	AXA Investment Managers UK Ltd	119368	31/05/2005	30/04/2006	Modification
IPRU(INV)5.2.4	Cairnsea Investments Limited	183240	11/07/2006	30/04/2007	Modification
IPRU(INV)5.2.4	Rothschild & Co Wealth Management UK Limited	218613	24/07/2003	31/07/2004	Modification
IPRU(INV)5.2.4 (1)	Aberdeen Asset Managers Limited	121891	19/01/2005	31/01/2006	Modification
IPRU(INV)5.2.4 (1)	Abraxas Capital Management Limited	219017	16/04/2004	16/04/2005	Modification
IPRU(INV)5.2.4 (1)	Algo Capital Management Limited	192936	06/09/2005	31/08/2006	Modification

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IPRU(INV)5.2.4 (1)	Allometry Capital Limited	218432	21/05/2004	21/05/2005	Modification
IPRU(INV)5.2.4 (1)	Arrowgrass Capital Partners LLP	413647	31/07/2006	31/07/2007	Modification
IPRU(INV)5.2.4 (1)	Arsago (UK) LLP	227744	29/09/2004	31/08/2005	Modification
IPRU(INV)5.2.4 (1)	Artemis Fund Managers Limited	122448	09/06/2004	08/06/2005	Modification
IPRU(INV)5.2.4 (1)	Aviva Investors Global Services Limited	119178	12/04/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	AXA Investment Managers UK Ltd	119368	06/03/2003	30/04/2004	Modification
IPRU(INV)5.2.4 (1)	AXA Investment Managers UK Ltd	119368	08/05/2006	30/04/2007	Modification
IPRU(INV)5.2.4 (1)	BMO Asset Management Limited	119230	03/07/2002	31/05/2003	Modification
IPRU(INV)5.2.4 (1)	BMO Asset Management Limited	119230	23/05/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	BMO Asset Management Limited	119230	21/09/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	BMO Asset Management Limited	119230	21/07/2006	30/04/2007	Modification
IPRU(INV)5.2.4 (1)	BMO Asset Managers Limited	148926	04/06/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	BMO Asset Managers Limited	148926	23/05/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	BMO Asset Managers Limited	148926	21/07/2006	30/04/2007	Modification
IPRU(INV)5.2.4 (1)	BMO Fund Management Limited	121940	04/06/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	BMO Fund Management Limited	121940	23/05/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	BMO Fund Management Limited	121940	21/07/2006	30/04/2007	Modification
IPRU(INV)5.2.4 (1)	BMO Managers Limited	121980	04/06/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	BMO Managers Limited	121980	23/05/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	BMO Managers Limited	121980	21/07/2006	30/04/2007	Modification
IPRU(INV)5.2.4 (1)	C60 Capital LLP	224968	28/06/2004	31/08/2005	Modification
IPRU(INV)5.2.4 (1)	Capita Life & Pensions Regulated Services Limited	145540	30/03/2004	30/05/2005	Modification
IPRU(INV)5.2.4 (1)	Capita Life & Pensions Regulated Services Limited	145540	23/06/2005	31/12/2006	Modification
IPRU(INV)5.2.4 (1)	Capita Life & Pensions Regulated Services Limited	145540	03/07/2006	30/07/2007	Modification
IPRU(INV)5.2.4 (1)	Capital International Limited	119193	11/03/2003	01/10/2003	Modification
IPRU(INV)5.2.4 (1)	Columbus Asset Management Ltd	122619	08/10/2002	31/03/2003	Modification
IPRU(INV)5.2.4 (1)	Coronation International Limited	194231	18/12/2003	18/12/2004	Modification
IPRU(INV)5.2.4 (1)	COVESTIUM LTD	184116	07/11/2003	28/02/2004	Modification
IPRU(INV)5.2.4 (1)	Dartmouth Capital Partners LLP	427309	31/05/2006	31/05/2007	Modification
IPRU(INV)5.2.4 (1)	Dexter Capital Group Limited	208693	13/05/2004	30/04/2005	Modification

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IPRU(INV)5.2.4 (1)	Eddington Capital Management Ltd	224492	24/03/2004	24/03/2005	Modification
IPRU(INV)5.2.4 (1)	Edinburgh Fund Managers Plc	119220	24/06/2002	31/05/2003	Modification
IPRU(INV)5.2.4 (1)	Edinburgh Fund Managers Plc	119220	07/05/2003	31/05/2004	Modification
IPRU(INV)5.2.4 (1)	Eriswell Capital LLP	212815	04/06/2004	03/06/2005	Modification
IPRU(INV)5.2.4 (1)	FGS Capital LLP	221362	16/08/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	Fleming Family & Partners Capital Management LLP	402434	01/09/2005	31/07/2006	Modification
IPRU(INV)5.2.4 (1)	Forbes Investment Management LLP	225617	17/05/2005	16/05/2006	Modification
IPRU(INV)5.2.4 (1)	Fundquest MM Limited	190925	16/12/2005	31/03/2007	Modification
IPRU(INV)5.2.4 (1)	Fusion Asset Management LLP	401334	01/03/2005	31/03/2006	Modification
IPRU(INV)5.2.4 (1)	Gartmore Investment Limited	119236	23/12/2004	22/12/2005	Modification
IPRU(INV)5.2.4 (1)	GLS Capital UK LLP	218933	04/06/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	Gran Financial Limited	197431	02/08/2004	02/08/2005	Modification
IPRU(INV)5.2.4 (1)	Henderson Administration Ltd	119252	23/04/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	Henderson Administration Ltd	119252	18/05/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	Henderson Fund Management Limited	149356	23/04/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	Henderson Global Investors Limited	121857	20/05/2003	30/04/2004	Modification
IPRU(INV)5.2.4 (1)	Henderson Unit Trusts Limited	119315	06/05/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	HSBC Global Asset Management (UK) Limited	122335	30/06/2004	30/06/2005	Modification
IPRU(INV)5.2.4 (1)	IFPC Limited	144197	17/05/2006	17/05/2007	Modification
IPRU(INV)5.2.4 (1)	IFPC Limited	144197	22/06/2007	21/06/2008	Modification
IPRU(INV)5.2.4 (1)	Ignis Investment Services Limited	121895	06/05/2003	31/05/2004	Modification
IPRU(INV)5.2.4 (1)	Ignis Investment Services Limited	121895	23/04/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	Ignis Investment Services Limited	121895	16/03/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	Insight Investment Management (Global) Limited	119308	03/09/2003	30/04/2004	Modification
IPRU(INV)5.2.4 (1)	Intrinsic Cirilium Investment Company Limited	195747	18/05/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	Investec Asset Management Limited	122420	20/08/2002	31/07/2003	Modification
IPRU(INV)5.2.4 (1)	John Laing Capital Management Limited	401868	16/06/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	JPMorgan Asset Management (UK) Limited	119337	28/03/2002	28/03/2004	Modification
IPRU(INV)5.2.4 (1)	Jupiter Asset Management Limited	141274	02/06/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	Kames Capital plc	144267	03/03/2004	31/08/2004	Modification

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IPRU(INV)5.2.4 (1)	King & Shaxson Asset Management Limited	193698	10/06/2004	30/05/2005	Modification
IPRU(INV)5.2.4 (1)	Liongate Capital Management LLP	225062	12/05/2004	12/05/2005	Modification
IPRU(INV)5.2.4 (1)	Liontrust Investment Funds Limited	172617	02/09/2004	02/09/2005	Modification
IPRU(INV)5.2.4 (1)	Liontrust Investment Services Limited	182758	02/09/2004	02/09/2005	Modification
IPRU(INV)5.2.4 (1)	Manulife Asset Management (Europe) Limited	165328	04/03/2004	04/03/2005	Modification
IPRU(INV)5.2.4 (1)	Mark Capital LLP	208635	20/01/2006	30/09/2006	Modification
IPRU(INV)5.2.4 (1)	Martin Currie Investment Management Ltd	119289	19/04/2006	19/04/2007	Modification
IPRU(INV)5.2.4 (1)	Matrix Private Equity Limited	195769	10/01/2006	31/10/2006	Modification
IPRU(INV)5.2.4 (1)	Matterhorn Investment Management LLP	219755	13/07/2004	31/10/2004	Modification
IPRU(INV)5.2.4 (1)	Merian Global Investors (UK) Limited	171847	23/03/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	Momentum Global Investment Management Limited	232357	23/11/2005	31/10/2006	Modification
IPRU(INV)5.2.4 (1)	NS PARTNERS LTD	141667	27/06/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	Octopus Investments Limited	194779	04/10/2006	04/10/2007	Modification
IPRU(INV)5.2.4 (1)	Par Asset Management LLP	221290	24/03/2004	24/03/2005	Modification
IPRU(INV)5.2.4 (1)	PD Capital Management Limited	208102	23/06/2005	30/06/2006	Modification
IPRU(INV)5.2.4 (1)	PD Capital Management Limited	208102	30/06/2006	30/06/2007	Modification
IPRU(INV)5.2.4 (1)	PhillipCapital UK Limited	169760	14/10/2005	13/10/2006	Modification
IPRU(INV)5.2.4 (1)	Pictet Asset Management Limited	181966	28/12/2005	31/03/2007	Modification
IPRU(INV)5.2.4 (1)	Prodigy Capital Partners LLP	218549	31/03/2004	30/04/2005	Modification
IPRU(INV)5.2.4 (1)	Progressive Focus Management Limited	196592	14/02/2005	31/01/2006	Modification
IPRU(INV)5.2.4 (1)	Rothschild & Co Wealth Management UK Limited	218613	25/05/2006	31/07/2007	Modification
IPRU(INV)5.2.4 (1)	Rutland Fund Management Limited	191710	19/11/2002	19/11/2005	Modification
IPRU(INV)5.2.4 (1)	Sabre Fund Management Ltd	114233	15/03/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	Sanctum FI LLP	224125	12/07/2004	31/07/2005	Modification
IPRU(INV)5.2.4 (1)	Santander Asset Management UK Limited	122491	07/04/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	SPARX Asset Management International, Ltd	232300	15/06/2005	30/04/2006	Waiver
IPRU(INV)5.2.4 (1)	Standard Life Investments Limited	188406	05/04/2004	15/03/2005	Modification
IPRU(INV)5.2.4 (1)	Standard Life Investments Limited	188406	16/02/2005	30/04/2006	Modification
IPRU(INV)5.2.4 (1)	Stonehage Fleming Private Equity Limited	401977	01/09/2005	31/07/2006	Modification
IPRU(INV)5.2.4 (1)	Tell Investments LLP	223325	11/08/2004	31/08/2005	Modification

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IPRU(INV)5.2.4 (1)	Thames River Capital LLP	426349	29/12/2006	28/12/2007	Modification
IPRU(INV)5.2.4 (1)	Threadneedle Asset Management Limited	122194	02/10/2006	02/10/2007	Modification
IPRU(INV)5.2.4 (1)	Threadneedle International Limited	143014	02/10/2006	02/10/2007	Modification
IPRU(INV)5.2.4 (1)	Utilities Investment Research Limited	173390	23/06/2004	23/06/2005	Modification
IPRU(INV)5.2.4 (1)	Zelengora Capital Management Limited	189080	12/01/2005	30/06/2006	Modification
IPRU(INV)5.2.5 (4)	Aberdeen Asset Managers Limited	121891	04/07/2006	31/12/2006	Waiver
IPRU(INV)5.2.5 (4)	BlackRock Investment Management (UK) Limited	119293	24/12/2004	24/12/2009	Waiver
IPRU(INV)5.7.4 (1)	Baillie Gifford & Co	142597	14/07/2004	31/03/2005	Waiver
IPRU(INV)5.7.5 (2)	BMO Asset Management Limited	119230	23/05/2005	30/04/2006	Modification
IPRU(INV)5.7.5 (2)	BMO Asset Managers Limited	148926	23/05/2005	30/04/2006	Modification
IPRU(INV)5.7.5 (2)	BMO Fund Management Limited	121940	23/05/2005	30/04/2006	Modification
IPRU(INV)5.7.5 (2)	BMO Investment Business Limited	177896	23/05/2005	30/04/2006	Modification
IPRU(INV)5.7.5 (2)	BMO Managers Limited	121980	23/05/2005	30/04/2006	Modification
IPRU(INV)5.7.5 (2)	BMO REP Asset Management plc	119283	23/05/2005	30/04/2006	Modification
IPRU(INV)5.7.5 (2)	ISIS Equity Partners Plc	122202	23/05/2005	30/04/2006	Modification
IPRU(INV)9.3.1 (8)	Mosaic Property LLP	436139	23/12/2008	10/11/2009	Modification
IPRU(INV)9.14 (1)	Royal International Insurance Holdings Limited	202209	20/12/2006	31/12/2008	Modification
IPRU(INV)10.41 (9)	Citigroup Global Markets Limited	124384	09/07/2004		Modification
IPRU(INV)10.41 (9)	Citigroup Global Markets Limited	124384	01/07/2005	30/06/2010	Modification
IPRU(INV)10.41 (9)	Citigroup Global Markets Limited	124384	16/06/2005	30/06/2005	Modification
IPRU(INV)10.41.9	Credit Lyonnais Rouse Limited	144592	28/04/2004		Modification
IPRU(INV)10.41 (9)	Credit Suisse Securities (Europe) Ltd	124611	01/01/2003		Modification
IPRU(INV)10.41 (9)	Credit Suisse Securities (Europe) Ltd	124611	11/05/2005	30/06/2005	Modification
IPRU(INV)10.41 (9)	Credit Suisse Securities (Europe) Ltd	124611	11/05/2005	30/06/2010	Modification
IPRU(INV)10.41 (9)	Lehman Brothers International (Europe)	147475	07/01/2005	07/01/2007	Modification
IPRU(INV)10.41 (9)	Lehman Brothers International (Europe)	147475	01/07/2005	02/02/2010	Modification
IPRU(INV)10.41 (9)	Morgan Stanley & Co. International Plc	165935	17/10/2003		Modification
IPRU(INV)10.41 (9)	Morgan Stanley & Co. International Plc	165935	30/06/2005	30/06/2010	Waiver
IPRU(INV)10.41 (9)	Morgan Stanley Securities Ltd	139238	07/10/2003	26/02/2015	Modification
IPRU(INV)10.41 (9)	Morgan Stanley Securities Ltd	139238	30/06/2005	30/06/2010	Waiver

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IPRU(INV)10.41 (9)	MUFG Securities EMEA plc	124512	27/04/2004		Modification
IPRU(INV)10.41 (9)	SMBC Derivative Products Limited	172073	12/11/2004	12/11/2009	Modification
IPRU(INV)10.41 (9)	SMBC Nikko Capital Markets Limited	171935	12/11/2004	12/11/2009	Modification
IPRU(INV)10.63 (2)	Canaccord Genuity Limited	182011	06/08/2004	31/08/2014	Waiver
IPRU(INV)10.63 (2)	Capital Dynamics Limited	141829	10/12/2003	31/12/2013	Modification
IPRU(INV)10.63 (2)	Capital Dynamics Limited	141829	30/08/2005	29/08/2015	Modification
IPRU(INV)10.63 (2)	EFL Futures Limited	122028	13/01/2005	01/02/2010	Modification
IPRU(INV)10.63 (2)	Exotix Limited	142605	22/03/2005	30/12/2009	Modification
IPRU(INV)10.63 (2)	Guy Butler Limited	190911	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (2)	Icap Energy Limited	161196	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (2)	ICAP Europe Limited	188984	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (2)	ICAP Global Derivatives Limited	191757	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (2)	ICAP Securities Limited	124520	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (2)	ICAP Securities USA LLC	178855	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (2)	ICAP WCLK Limited	124341	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (2)	Lehman Brothers International (Europe)	147475	26/05/2005	02/02/2010	Waiver
IPRU(INV)10.63 (2)	Lehman Brothers International (Europe)	147475	31/10/2005	02/02/2010	Waiver
IPRU(INV)10.63.2	Lehman Brothers International (Europe)	147475	21/03/2006	02/02/2010	Modification
IPRU(INV)10.63 (2)	Man Investments Ltd	114294	10/12/2003	31/12/2013	Waiver
IPRU(INV)10.63 (2)	Man Investments Ltd	114294	30/08/2005	29/08/2015	Waiver
IPRU(INV)10.63 (2)	Man Investments Ltd	114294	09/09/2005	08/09/2015	Waiver
IPRU(INV)10.63 (2)	Merrill Lynch International	147150	13/01/2004	31/12/2013	Modification
IPRU(INV)10.63 (2)	Merrill Lynch International	147150	31/05/2005	09/06/2010	Waiver
IPRU(INV)10.63 (2)	Merrill Lynch International	147150	02/08/2005	28/07/2010	Waiver
IPRU(INV)10.63 (2)	MF Global UK Limited	106052	10/12/2003	31/12/2013	Waiver
IPRU(INV)10.63 (2)	MF Global UK Limited	106052	30/08/2005	29/08/2015	Waiver
IPRU(INV)10.63 (2)	MF Global UK Limited	106052	09/09/2005	08/09/2015	Waiver
IPRU(INV)10.63 (2)	MUFG Securities EMEA plc	124512	31/01/2005	31/12/2009	Waiver
IPRU(INV)10.63 (2)	MUFG Securities EMEA plc	124512	31/01/2005	31/01/2010	Waiver
IPRU(INV)10.63 (2)	MUFG Securities EMEA plc	124512	23/02/2005	06/01/2010	Modification

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IPRU(INV)10.63 (3)	Bellwether Brokers Limited	195756	19/04/2004	19/04/2006	Waiver
IPRU(INV)10.63 (3)	Canaccord Genuity Limited	182011	06/08/2004	31/08/2014	Waiver
IPRU(INV)10.63 (3)	Capital Dynamics Limited	141829	10/12/2003	31/12/2013	Modification
IPRU(INV)10.63 (3)	Capital Dynamics Limited	141829	30/08/2005	29/08/2015	Modification
IPRU(INV)10.63 (3)	Credit Lyonnais Rouse Limited	144592	07/10/2004	07/10/2009	Modification
IPRU(INV)10.63 (3)	Credit Suisse Securities (Europe) Ltd	124611	09/03/2006	08/03/2009	Modification
IPRU(INV)10.63.3	Culross Global Management Limited	155592	14/11/2003	05/04/2006	Modification
IPRU(INV)10.63 (3)	E*Trade Securities Limited	140818	26/08/2005	25/08/2008	Modification
IPRU(INV)10.63 (3)	Exotix Limited	142605	22/03/2005	30/12/2009	Modification
IPRU(INV)10.63 (3)	Guy Butler Limited	190911	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (3)	HedgeMAP LLP	230722	01/11/2005	01/11/2008	Waiver
IPRU(INV)10.63 (3)	Icap Energy Limited	161196	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (3)	ICAP Europe Limited	188984	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (3)	ICAP Global Derivatives Limited	191757	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (3)	ICAP Securities Limited	124520	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (3)	ICAP Securities USA LLC	178855	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (3)	ICAP WCLK Limited	124341	22/03/2005	31/12/2015	Modification
IPRU(INV)10.63 (3)	IG Index Limited	114059	15/01/2004	15/01/2007	Modification
IPRU(INV)10.63 (3)	IG Markets Limited	195355	15/01/2004	15/01/2007	Modification
IPRU(INV)10.63 (3)	J.P. Morgan Markets Limited	114031	01/12/2006	31/12/2006	Modification
IPRU(INV)10.63 (3)	Lehman Brothers International (Europe)	147475	26/05/2005	02/02/2010	Waiver
IPRU(INV)10.63 (3)	Lehman Brothers International (Europe)	147475	31/10/2005	02/02/2010	Waiver
IPRU(INV)10.63.3	Lehman Brothers International (Europe)	147475	21/03/2006	02/02/2010	Modification
IPRU(INV)10.63 (3)	Man Investments Ltd	114294	10/12/2003	31/12/2013	Waiver
IPRU(INV)10.63 (3)	Man Investments Ltd	114294	30/08/2005	29/08/2015	Waiver
IPRU(INV)10.63 (3)	Man Investments Ltd	114294	09/09/2005	08/09/2015	Waiver
IPRU(INV)10.63.3	Maple Securities (UK) Ltd	146961	05/09/2006	31/12/2006	Modification
IPRU(INV)10.63.3	Merrill Lynch International	147150	12/09/2003	12/09/2006	Modification
IPRU(INV)10.63 (3)	Merrill Lynch International	147150	13/01/2004	31/12/2013	Modification
IPRU(INV)10.63 (3)	Merrill Lynch International	147150	16/01/2004	16/01/2014	Modification

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IPRU(INV)10.63 (3)	Merrill Lynch International	147150	26/01/2004	26/01/2007	Modification
IPRU(INV)10.63 (3)	Merrill Lynch International	147150	02/08/2005	28/07/2010	Waiver
IPRU(INV)10.63 (3)	Merrill Lynch International	147150	22/11/2005	21/11/2008	Modification
IPRU(INV)10.63 (3)	Merrill Lynch International	147150	20/09/2006	31/12/2006	Waiver
IPRU(INV)10.63 (3)	MF Global UK Limited	106052	10/12/2003	31/12/2013	Waiver
IPRU(INV)10.63 (3)	MF Global UK Limited	106052	30/08/2005	29/08/2015	Waiver
IPRU(INV)10.63 (3)	MF Global UK Limited	106052	09/09/2005	08/09/2015	Waiver
IPRU(INV)10.63 (3)	MUFG Securities EMEA plc	124512	31/01/2005	31/01/2010	Waiver
IPRU(INV)10.63 (3)	MUFG Securities EMEA plc	124512	23/02/2005	06/01/2010	Modification
IPRU(INV)10.63 (3)	R.J. O'Brien Limited	114120	29/07/2004	29/07/2009	Modification
IPRU(INV)10.63 (3)	SMBC Nikko Capital Markets Limited	171935	14/04/2005	14/04/2008	Modification
IPRU(INV)10.65	Credit Suisse Securities (Europe) Ltd	124611	22/07/2002	19/07/2004	Waiver
IPRU(INV)10.65	Credit Suisse Securities (Europe) Ltd	124611	25/01/2006	19/07/2006	Modification
IPRU(INV)10.65 (11)	Credit Suisse Securities (Europe) Ltd	124611	19/07/2006	31/12/2007	Modification
IPRU(INV)10.66	Credit Suisse Securities (Europe) Ltd	124611	22/07/2002	19/07/2004	Waiver
IPRU(INV)10.66	Credit Suisse Securities (Europe) Ltd	124611	25/01/2006	19/07/2006	Modification
IPRU(INV)10.66 (5)	Credit Suisse Securities (Europe) Ltd	124611	19/07/2006	31/12/2007	Modification
IPRU(INV)10.70	Cushman & Wakefield Corporate Finance Limited	131477	28/06/2006	31/10/2007	Modification
IPRU(INV)10.70	IK Investment Partners Limited	161780	26/01/2007	01/11/2007	Modification
IPRU(INV)10.70	Imprimatur Capital Corporate Finance Limited	459643	08/02/2007	01/11/2007	Modification
IPRU(INV)10.70	Integral Development Corporation (Europe) Ltd	460420	21/05/2007	01/11/2007	Waiver
IPRU(INV)10.70	Liability Solutions Limited	194225	22/01/2007	01/11/2007	Waiver
IPRU(INV)10.70	Pathway Capital Management (UK) Ltd	438536	14/06/2007	31/10/2007	Modification
IPRU(INV)10.70	PropertyBourse Limited	464627	04/07/2007	31/10/2007	Modification
IPRU(INV)10.70	Sinthos Capital Advisors LLP	463540	02/07/2007	01/11/2007	Waiver
IPRU(INV)10.72	Credit Suisse Securities (Europe) Ltd	124611	22/07/2002	19/07/2004	Waiver
IPRU(INV)10.73.2	Cube Financial Limited	196931	11/10/2005	01/03/2007	Modification
IPRU(INV)10.73 (2)	Kyte Broking Limited	174863	30/03/2006	30/03/2007	Modification
IPRU(INV)10.74	The Link Asset and Securities Company Limited	186764	18/09/2003	18/09/2004	Modification
IPRU(INV)10.74 (2)	Candela Capital Ltd	228816	30/01/2006	30/01/2007	Modification

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IPRU(INV)10.74 (2)	Clearstream Funds Centre Limited	124588	12/06/2006	11/06/2011	Modification
IPRU(INV)10.74 (2)	IV Capital Limited	189257	06/06/2007	01/01/2008	Modification
IPRU(INV)10.74.2	R M Walkden & Co Ltd	137425	26/07/2002		Modification
IPRU(INV)10.74 (2)	Towry EJ Limited	186326	14/06/2005	13/06/2010	Modification
IPRU(INV)10.74 (2)	Tremont Capital Management Limited	148529	17/01/2005	16/01/2007	Modification
IPRU(INV)10.80 (2)	Barclays Capital Securities Limited	124431	01/07/2005	30/06/2010	Waiver
IPRU(INV)10.80 (2)	Citigroup Global Markets Limited	124384	09/07/2004		Modification
IPRU(INV)10.80 (2)	Citigroup Global Markets Limited	124384	01/07/2005	30/06/2010	Modification
IPRU(INV)10.80 (2)	Citigroup Global Markets Limited	124384	16/06/2005	30/06/2005	Modification
IPRU(INV)10.80 (2)	Citigroup Global Markets Limited	124384	22/02/2006	22/02/2011	Modification
IPRU(INV)10.80 (2)	Citigroup Global Markets Limited	124384	09/11/2006	31/12/2006	Modification
IPRU(INV)10.80 (2)	Citigroup Global Markets Limited	124384	09/11/2006	31/12/2006	Modification
IPRU(INV)10.80.2	Credit Lyonnais Rouse Limited	144592	28/04/2004		Modification
IPRU(INV)10.80 (2)	Credit Suisse Securities (Europe) Ltd	124611	01/01/2003		Modification
IPRU(INV)10.80 (2)	Credit Suisse Securities (Europe) Ltd	124611	11/05/2005	30/06/2005	Modification
IPRU(INV)10.80 (2)	Credit Suisse Securities (Europe) Ltd	124611	11/05/2005	30/06/2010	Modification
IPRU(INV)10.80 (2)	Goldman Sachs International	142888	18/08/2004		Modification
IPRU(INV)10.80 (2)	Goldman Sachs International	142888	13/12/2004		Modification
IPRU(INV)10.80 (2)	Goldman Sachs International	142888	30/06/2005	30/06/2010	Modification
IPRU(INV)10.80 (2)	Goldman Sachs International	142888	30/06/2005	30/06/2010	Modification
IPRU(INV)10.80 (2)	Goldman Sachs International	142888	10/08/2005	18/08/2006	Waiver
IPRU(INV)10.80 (2)	Goldman Sachs International	142888	09/02/2006	28/02/2011	Modification
IPRU(INV)10.80 (2)	Goldman Sachs International	142888	10/02/2006	31/12/2006	Waiver
IPRU(INV)10.80 (2)	IG Index Limited	114059	01/07/2005	31/01/2006	Modification
IPRU(INV)10.80 (2)	IG Index Limited	114059	01/02/2006	01/02/2011	Modification
IPRU(INV)10.80 (2)	IG Markets Limited	195355	01/07/2005	31/01/2006	Modification
IPRU(INV)10.80 (2)	IG Markets Limited	195355	01/02/2006	01/02/2011	Modification
IPRU(INV)10.80.2	J.P. Morgan Markets Limited	114031	28/07/2004		Modification
IPRU(INV)10.80.2	J.P. Morgan Markets Limited	114031	29/03/2005	10/05/2009	Modification
IPRU(INV)10.80 (2)	J.P. Morgan Markets Limited	114031	01/07/2005	10/05/2009	Modification

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IPRU(INV)10.80 (2)	J.P. Morgan Markets Limited	114031	27/06/2006	10/05/2009	Modification
IPRU(INV)10.80 (2)	J.P. Morgan Securities plc	155240	20/03/2005		Modification
IPRU(INV)10.80 (2)	J.P. Morgan Securities plc	155240	01/07/2005	30/06/2010	Modification
IPRU(INV)10.80 (2)	Lehman Brothers International (Europe)	147475	07/01/2005	07/01/2007	Modification
IPRU(INV)10.80 (2)	Lehman Brothers International (Europe)	147475	01/07/2005	02/02/2010	Modification
IPRU(INV)10.80 (2)	Marex Financial	442767	13/01/2006	30/09/2006	Modification
IPRU(INV)10.80 (2)	Marex Financial	442767	01/10/2006	30/09/2011	Modification
IPRU(INV)10.80 (2)	Merrill Lynch International	147150	01/07/2005	01/07/2010	Modification
IPRU(INV)10.80 (2)	Merrill Lynch International	147150	08/09/2005	07/09/2010	Waiver
IPRU(INV)10.80 (2)	Merrill Lynch International	147150	22/02/2006	21/02/2011	Modification
IPRU(INV)10.80 (2)	Merrill Lynch International	147150	19/04/2006	18/04/2011	Waiver
IPRU(INV)10.80 (2)	Merrill Lynch International	147150	14/11/2006	31/12/2006	Waiver
IPRU(INV)10.80 (2)	Morgan Stanley & Co. International Plc	165935	17/10/2003		Modification
IPRU(INV)10.80 (2)	Morgan Stanley & Co. International Plc	165935	01/07/2005	30/06/2010	Modification
IPRU(INV)10.80 (2)	Morgan Stanley & Co. International Plc	165935	31/07/2006	30/06/2011	Modification
IPRU(INV)10.80 (2)	Morgan Stanley Securities Ltd	139238	07/10/2003	26/02/2015	Modification
IPRU(INV)10.80 (2)	Morgan Stanley Securities Ltd	139238	01/07/2005	30/06/2010	Modification
IPRU(INV)10.80 (2)	Morgan Stanley Securities Ltd	139238	31/07/2006	30/06/2011	Modification
IPRU(INV)10.80 (2)	MUFG Securities EMEA plc	124512	27/04/2004		Modification
IPRU(INV)10.80 (2)	MUFG Securities EMEA plc	124512	30/06/2005	30/06/2010	Modification
IPRU(INV)10.80 (2)	MUFG Securities EMEA plc	124512	13/10/2005	10/06/2010	Modification
IPRU(INV)10.80 (2)	MUFG Securities EMEA plc	124512	26/06/2006	26/06/2011	Modification
IPRU(INV)10.80 (2)	Nomura Bank International Plc	204419	21/10/2004		Waiver
IPRU(INV)10.80 (2)	Nomura International Plc	124422	21/12/2005	20/12/2010	Modification
IPRU(INV)10.80 (2)	Nomura International Plc	124422	09/06/2006	20/12/2010	Modification
IPRU(INV)10.88 (2)	Barclays Capital Securities Limited	124431	05/02/2004	31/03/2005	Waiver
IPRU(INV)10.104	Morgan Stanley & Co. International Plc	165935	28/10/2003	30/06/2004	Modification
IPRU(INV)10.104	Morgan Stanley & Co. International Plc	165935	16/03/2005	31/07/2005	Modification
IPRU(INV)10.104	Morgan Stanley Securities Ltd	139238	28/10/2003	30/06/2004	Modification
IPRU(INV)10.104	Morgan Stanley Securities Ltd	139238	16/03/2005	31/07/2005	Modification

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IPRU(INV)10.105	Morgan Stanley & Co. International Plc	165935	28/10/2003	30/06/2004	Modification
IPRU(INV)10.105	Morgan Stanley & Co. International Plc	165935	16/03/2005	31/07/2005	Modification
IPRU(INV)10.105	Morgan Stanley Securities Ltd	139238	28/10/2003	30/06/2004	Modification
IPRU(INV)10.105	Morgan Stanley Securities Ltd	139238	16/03/2005	31/07/2005	Modification
IPRU(INV)10.106	Morgan Stanley & Co. International Plc	165935	28/10/2003	30/06/2004	Modification
IPRU(INV)10.106	Morgan Stanley & Co. International Plc	165935	16/03/2005	31/07/2005	Modification
IPRU(INV)10.106	Morgan Stanley Securities Ltd	139238	28/10/2003	30/06/2004	Modification
IPRU(INV)10.106	Morgan Stanley Securities Ltd	139238	16/03/2005	31/07/2005	Modification
IPRU(INV)10.107	Morgan Stanley & Co. International Plc	165935	28/10/2003	30/06/2004	Modification
IPRU(INV)10.107	Morgan Stanley & Co. International Plc	165935	16/03/2005	31/07/2005	Modification
IPRU(INV)10.107	Morgan Stanley Securities Ltd	139238	28/10/2003	30/06/2004	Modification
IPRU(INV)10.107	Morgan Stanley Securities Ltd	139238	16/03/2005	31/07/2005	Modification
IPRU(INV)10.111 (5)	Morgan Stanley & Co. International Plc	165935	28/10/2003	30/06/2004	Modification
IPRU(INV)10.111 (5)	Morgan Stanley & Co. International Plc	165935	16/03/2005	31/07/2005	Modification
IPRU(INV)10.111 (5)	Morgan Stanley Securities Ltd	139238	28/10/2003	30/06/2004	Modification
IPRU(INV)10.111 (5)	Morgan Stanley Securities Ltd	139238	16/03/2005	31/07/2005	Modification
IPRU(INV)10.150	Credit Suisse Securities (Europe) Ltd	124611	01/01/2003		Modification
IPRU(INV)10.150	Credit Suisse Securities (Europe) Ltd	124611	11/05/2005	30/06/2005	Modification
IPRU(INV)10.150	Credit Suisse Securities (Europe) Ltd	124611	11/05/2005	30/06/2010	Modification
IPRU(INV)10.201	Canaccord Genuity Limited	182011	30/06/2004	30/06/2006	Modification
IPRU(INV)10.201	Mako Financial Markets Partnership LLP	231157	27/04/2004		Modification
IPRU(INV)10.201	Mako Fixed Income Partnership LLP	210887	27/04/2004		Modification
IPRU(INV)10.201	Mako Global Derivatives Partnership LLP	231154	27/04/2004		Modification
IPRU(INV)10.201	MAVORS Investment Managers LLP	214498	27/04/2004		Modification
IPRU(INV)10.201	Merrill Lynch International	147150	02/08/2005	28/07/2010	Waiver
IPRU(INV)10.203	Morgan Stanley & Co. International Plc	165935	26/01/2005	30/11/2005	Modification
IPRU(INV)10.203	Morgan Stanley Securities Ltd	139238	26/01/2005	30/11/2005	Modification
IPRU(INV)11.0	36 South Capital Advisors LLP	477881	27/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Adelphi Capital LLP	401436	11/03/2014	31/01/2015	Modification
IPRU(INV)11.0	AKO Capital LLP	431687	20/06/2014	31/01/2015	Modification

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IPRU(INV)11.0	Areski Capital LLP	603023	03/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Arrowgrass Capital Partners LLP	413647	03/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Aspect Capital Limited	188395	25/02/2014	31/01/2015	Modification
IPRU(INV)11.0	Baillie Gifford & Co Limited	119179	21/02/2014	31/01/2015	Modification
IPRU(INV)11.0	BlackRock Fund Managers Limited	119292	23/06/2014	31/01/2015	Modification
IPRU(INV)11.0	Bremner Capital LLP	588179	28/02/2014	31/01/2015	Modification
IPRU(INV)11.0	Brummer & Partners Capital LLP	592285	26/02/2014	31/01/2015	Modification
IPRU(INV)11.0	Carvetian Capital Management Limited	530809	21/02/2014	31/01/2015	Modification
IPRU(INV)11.0	CBPE Capital LLP	229900	30/04/2015	30/07/2015	Modification
IPRU(INV)11.0	Courtiers Investment Services Limited	124995	17/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Eclectica Asset Management LLP	430991	21/02/2014	31/01/2015	Modification
IPRU(INV)11.0	Fulcrum Asset Management LLP	230683	27/06/2014	31/01/2015	Modification
IPRU(INV)11.0	Gladstone Capital Management LLP	434216	08/07/2014	31/01/2015	Modification
IPRU(INV)11.0	GSA Capital Partners LLP	409768	27/06/2014	31/01/2015	Modification
IPRU(INV)11.0	Harmonic Capital Partners LLP	219865	06/06/2014	31/01/2015	Modification
IPRU(INV)11.0	HBOS Investment Fund Managers Limited	119223	10/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Jupiter Unit Trust Managers Limited	122488	14/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Lindengrove Capital LLP	584673	21/02/2014	31/01/2015	Modification
IPRU(INV)11.0	Marshall Wace LLP	228531	07/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Neuron Advisers LLP	563919	26/02/2014	31/01/2015	Modification
IPRU(INV)11.0	New Peak Capital Partners LLP	582201	27/06/2014	31/01/2015	Modification
IPRU(INV)11.0	Odey Asset Management LLP	214843	30/06/2014	31/01/2015	Modification
IPRU(INV)11.0	Onewall Advisors (UK) LLP	534845	30/06/2014	31/01/2015	Modification
IPRU(INV)11.0	Onslow Capital Management Ltd	459920	03/07/2014	31/01/2015	Modification
IPRU(INV)11.0	Paris Capital Advisors (London) LLP	520720	07/07/2014	31/01/2015	Modification
IPRU(INV)11.0	Premier Portfolio Managers Limited	122067	30/06/2014	31/01/2015	Modification
IPRU(INV)11.0	Salt Rock Capital Partners LLP	595316	07/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Sanctum FI LLP	224125	27/06/2014	31/01/2015	Modification
IPRU(INV)11.0	Scottish Widows Unit Trust Managers Limited	122129	10/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Solaise Capital Management LLP	537039	06/06/2014	31/01/2015	Modification

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IPRU(INV)11.0	St. James's Place Unit Trust Group Limited	122472	19/06/2014	31/01/2015	Modification
IPRU(INV)11.0	The Black Ant Group LLP	232168	30/06/2014	31/01/2015	Modification
IPRU(INV)11.0	TT International Investment Management LLP	599295	27/03/2014	31/01/2015	Modification
IPRU(INV)11.0	Wadhvani Asset Management LLP	219900	18/06/2014	31/01/2015	Modification
IPRU(INV)11.0	Winton Capital Management Limited	184258	21/02/2014	31/01/2015	Modification
IPRU(INV)11..	Liontrust Investments Limited	479764	09/05/2014	31/01/2015	Modification
IPRU(INV)11..	PGR Capital LLP	503401	01/05/2014	31/01/2015	Modification
IPRU(INV)11.1	Alliance Trust PLC	613396	08/05/2014	31/01/2015	Modification
IPRU(INV)11.1	Altiq LLP	517799	09/04/2014	31/01/2015	Modification
IPRU(INV)11.1	Armajaro Asset Management LLP	213055	17/04/2014	31/01/2015	Modification
IPRU(INV)11.1	Clerical Medical Investment Fund Managers Ltd	171278	10/04/2014	31/01/2015	Modification
IPRU(INV)11.1	Emso Asset Management Limited	229812	10/04/2014	31/01/2015	Modification
IPRU(INV)11.1	Horizon Asset Limited	194241	27/03/2014	31/01/2015	Modification
IPRU(INV)11.1	Lansdowne Partners (UK) LLP	613543	20/05/2014	31/01/2015	Modification
IPRU(INV)11.1	LGIM Corporate Director Limited	518241	21/05/2014	31/01/2015	Modification
IPRU(INV)11.1	Mackay Shields UK LLP	594166	28/02/2014	31/01/2015	Modification
IPRU(INV)11.1	Mako Global Investors LLP	576153	28/04/2014	31/01/2015	Modification
IPRU(INV)11.1	MAVORS Investment Managers LLP	214498	28/04/2014	31/01/2015	Modification
IPRU(INV)11.1	MT Fund Management Limited	175592	24/02/2014	31/01/2015	Modification
IPRU(INV)11.1	Mulvaney Capital Management Limited	192017	09/05/2014	31/01/2015	Modification
IPRU(INV)11.1	Ovington Capital Management LLP	538228	25/04/2014	31/01/2015	Modification
IPRU(INV)11.1	Piquant Technologies LLP	597642	28/02/2014	31/01/2015	Modification
IPRU(INV)11.1	Theleme Partners LLP	504902	10/04/2014	31/01/2015	Modification
IPRU(INV)11.1	Whard Stewart (UK) LLP	574493	28/05/2014	31/01/2015	Modification
IPRU(INV)13.1.1	Bradford & Bingley Plc	106126	18/08/2010	18/08/2015	Waiver
IPRU(INV)13.1.3	1st Chartered Financial Planning Limited	153508	22/09/2003	13/01/2004	Modification
IPRU(INV)13.1.3	1st Ethical Limited	197317	15/10/2003	14/10/2004	Waiver
IPRU(INV)13.1.3	1st Policy Company Limited	179442	28/04/2003	28/04/2004	Waiver
IPRU(INV)13.1.3	1st Policy Company Limited	179442	06/07/2004	14/01/2005	Modification
IPRU(INV)13.1.3	A P Mather Insurance Consultants	125529	20/08/2003	05/06/2004	Modification

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IPRU(INV)13.1.3	A. Letton Percival & Company	120926	14/11/2003	29/07/2004	Modification
IPRU(INV)13.1.3	A.D. Stewart Insurance Services	126491	18/09/2003	31/01/2004	Modification
IPRU(INV)13.1.3	Abacus Financial Management Limited	145140	15/10/2003	11/01/2004	Modification
IPRU(INV)13.1.3	Abacus Insurance Consultants	118204	18/08/2003	28/11/2004	Waiver
IPRU(INV)13.1.3	Abacus Insurance Consultants	118204	10/12/2003	10/03/2004	Modification
IPRU(INV)13.1.3	Accountants Financial Services (Scotland) Ltd	147176	10/11/2003	22/10/2004	Modification
IPRU(INV)13.1.3	ACG Financial Management Limited	207505	17/11/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Acorn Financial Planning	117964	16/09/2003	15/09/2004	Waiver
IPRU(INV)13.1.3	Acorn Services	148147	29/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Action Associates Financial Insurance Services	147171	11/09/2003	18/04/2004	Modification
IPRU(INV)13.1.3	Active Asset Allocaters	190778	21/01/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Active Investment Managers Limited	125581	03/09/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Acumen Independent Financial Advisers	171621	17/08/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	ADA Financial Consultants Ltd	152750	29/01/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Adams Financial Services Limited	125853	19/08/2003	18/08/2004	Modification
IPRU(INV)13.1.3	ADMIRAL WEALTH MANAGEMENT LIMITED	145570	13/08/2003	12/08/2004	Modification
IPRU(INV)13.1.3	Adviser Business Solutions Ltd	190181	29/08/2003	13/09/2003	Modification
IPRU(INV)13.1.3	Adviser Business Solutions Ltd	190181	13/10/2003	13/09/2004	Modification
IPRU(INV)13.1.3	AFS Limited	196880	28/08/2003	21/07/2004	Modification
IPRU(INV)13.1.3	Agnew & Partners	125077	02/09/2003	28/07/2004	Modification
IPRU(INV)13.1.3	Alan Hiscox Financial Services Partnership	138222	25/11/2003	01/11/2004	Modification
IPRU(INV)13.1.3	Alan Nedas Associates	150654	20/10/2003	03/04/2004	Modification
IPRU(INV)13.1.3	Alan Steel (Asset Management) Limited	114423	27/11/2003	27/11/2004	Waiver
IPRU(INV)13.1.3	Alan Thompson Financial Services	191543	17/12/2003	04/11/2004	Modification
IPRU(INV)13.1.3	Alastair Lyon	181769	08/09/2003	19/05/2004	Modification
IPRU(INV)13.1.3	Alexander James Financial Services Limited	212835	19/08/2003	11/02/2004	Modification
IPRU(INV)13.1.3	Alexanders	118111	11/12/2003	11/12/2004	Waiver
IPRU(INV)13.1.3	Algarve Financial Services Ltd	189626	26/09/2003	04/06/2004	Modification
IPRU(INV)13.1.3	Allcover Financial Services	194988	02/10/2003	03/05/2004	Modification
IPRU(INV)13.1.3	Altorfer Financial Management Limited	147392	19/08/2003	18/02/2004	Modification

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IPRU(INV)13.1.3	Alvi's Investment Services Limited	138891	24/11/2003	23/11/2004	Waiver
IPRU(INV)13.1.3	Ambergate Business Services Ltd	184647	29/12/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Anderson Sinclair & Company	115061	01/06/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Andrew Bourne & Company (Life & Pensions)	144091	31/10/2003	30/10/2004	Waiver
IPRU(INV)13.1.3	Andrew Cohen IFA	181561	18/08/2003	19/11/2004	Modification
IPRU(INV)13.1.3	Andrew Kent & Partners Limited	121743	14/08/2003	13/08/2004	Modification
IPRU(INV)13.1.3	Andrews Hammond Brady Financial Services Limited	190197	29/12/2003	03/08/2004	Modification
IPRU(INV)13.1.3	Andrews Insurances Life & Pensions	125957	17/12/2003	16/12/2004	Waiver
IPRU(INV)13.1.3	Angell Mallinder	186239	15/10/2003	19/09/2004	Modification
IPRU(INV)13.1.3	Anil Tanna	136631	19/08/2003	19/08/2004	Waiver
IPRU(INV)13.1.3	Anil Tanna	136631	22/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Anthony Tabbinor, Esq.	144891	06/01/2004	31/10/2004	Modification
IPRU(INV)13.1.3	Apogee Financial Management Ltd	190530	24/10/2003	30/07/2004	Modification
IPRU(INV)13.1.3	Apple Financial Consultants Ltd	221930	17/08/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Apple Investments	121592	26/08/2003	15/03/2004	Modification
IPRU(INV)13.1.3	Arbil Financial Services Limited	138998	11/09/2003	09/03/2004	Modification
IPRU(INV)13.1.3	Arch Financial Planning Limited	222989	10/10/2003	15/09/2004	Modification
IPRU(INV)13.1.3	ARG Financial Services Limited	222497	08/10/2003	15/09/2004	Modification
IPRU(INV)13.1.3	Argyll Financial Services Limited	138250	20/08/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Arnott Guy & Company	143945	02/09/2003	01/09/2004	Waiver
IPRU(INV)13.1.3	Arnott Guy & Company	143945	24/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	AS Hunjan & JK Hunjan	125547	26/09/2003	25/09/2004	Waiver
IPRU(INV)13.1.3	Ascot Lloyd Financial Services Limited	150620	30/12/2003	01/08/2004	Modification
IPRU(INV)13.1.3	Ashby and Thompson Independent Financial Advisers	137740	28/05/2003	27/05/2004	Waiver
IPRU(INV)13.1.3	Ashcourt Rowan Financial Planning Limited	133576	29/08/2003	12/05/2004	Modification
IPRU(INV)13.1.3	Ashley Brown Associates	117926	11/08/2003	21/04/2004	Modification
IPRU(INV)13.1.3	Ashton House Independent Financial Advisers	212009	21/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Aspen Financial Strategies Limited	211183	21/10/2003	04/10/2004	Modification
IPRU(INV)13.1.3	Aspin Analysis Limited	135872	08/09/2003	28/02/2004	Modification
IPRU(INV)13.1.3	Asset and Investment Management Limited	196680	17/11/2003	31/10/2004	Modification

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IPRU(INV)13.1.3	Assets International Management Limited	125425	16/07/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Associated Life	144168	23/09/2003	19/03/2004	Modification
IPRU(INV)13.1.3	Assured Mortgages	143838	22/08/2003	11/07/2004	Modification
IPRU(INV)13.1.3	Atlantic Investors (Scotland) Ltd	182565	28/10/2003	31/12/2004	Modification
IPRU(INV)13.1.3	Aurea Financial Planning Limited	121212	24/10/2003	10/03/2004	Modification
IPRU(INV)13.1.3	Aurea Financial Planning Limited	121212	19/11/2003	10/03/2004	Modification
IPRU(INV)13.1.3	AV Trinity Limited	182032	09/09/2003	13/03/2004	Modification
IPRU(INV)13.1.3	Axess Financial Services	190855	02/09/2003	20/02/2004	Modification
IPRU(INV)13.1.3	B S Financial Services Limited	209464	26/08/2003	18/03/2004	Modification
IPRU(INV)13.1.3	Backhouse Independent Financial Services Limited	126319	02/09/2003	04/06/2004	Modification
IPRU(INV)13.1.3	Bank House Financial Services Limited	147813	02/09/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Bankes & Partners	144520	04/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Barbour & Payne	121752	19/08/2003	31/01/2004	Modification
IPRU(INV)13.1.3	Barchester Financial Services Limited	137677	03/09/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Barchester Green Investment	147258	27/10/2003	23/06/2004	Modification
IPRU(INV)13.1.3	Barnes & Sherwood (Investment) Limited	187052	27/08/2003	04/06/2004	Modification
IPRU(INV)13.1.3	Barnes Ingram & Associates	189369	10/09/2003	09/09/2004	Waiver
IPRU(INV)13.1.3	Barnes Menzies French	148080	01/09/2003	23/02/2004	Modification
IPRU(INV)13.1.3	Barnet Financial Limited	190612	02/12/2003	01/06/2004	Waiver
IPRU(INV)13.1.3	Barnett Financial Consultants	138284	13/10/2003	01/04/2004	Modification
IPRU(INV)13.1.3	Barnett Financial Solutions Limited	120846	28/11/2003	04/10/2004	Modification
IPRU(INV)13.1.3	Barnett Waddingham Investments Limited	207481	20/10/2003	19/09/2004	Modification
IPRU(INV)13.1.3	Barnett Waddingham Investments Limited	207481	14/11/2003	04/11/2004	Modification
IPRU(INV)13.1.3	Barr Davis and Company Limited	138881	07/10/2003	06/10/2004	Waiver
IPRU(INV)13.1.3	Barral Sheppard Financial Services	150113	10/11/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Barrow Hazell & Co Insurance Brokers & Independent Financial A	181902	02/09/2003	30/10/2004	Modification
IPRU(INV)13.1.3	Barry Fleming and Partners (Tax, Trusts and Investments Planning	213159	09/09/2003	19/04/2004	Modification
IPRU(INV)13.1.3	Barry Johnson Financial Services	125896	13/08/2003	12/08/2004	Waiver
IPRU(INV)13.1.3	Barry Leedham Financial Services	153268	17/09/2003	23/03/2004	Modification
IPRU(INV)13.1.3	Barton Financial Planning Limited	191787	14/08/2003	13/08/2004	Modification

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IPRU(INV)13.1.3	Battle Financial Services	189355	23/10/2003	26/09/2004	Modification
IPRU(INV)13.1.3	Bay Associates Limited	194508	18/11/2003	21/06/2004	Modification
IPRU(INV)13.1.3	Bayliss & Company (Financial Services) Limited	140191	28/10/2003	27/05/2004	Modification
IPRU(INV)13.1.3	Beacon House Investments	178864	02/09/2003	18/06/2004	Modification
IPRU(INV)13.1.3	Belbury Financial Services	154408	21/03/2003	19/04/2004	Waiver
IPRU(INV)13.1.3	Belmont International Limited	149724	01/12/2003	13/02/2004	Modification
IPRU(INV)13.1.3	Bentley Consultants Limited	192665	31/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Bentley Independent Financial Advisers	146733	03/09/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Bentley Jennison Financial Services	114954	19/09/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Berkeley Burke & Company Limited	115053	05/09/2003	29/11/2003	Modification
IPRU(INV)13.1.3	Berkeley La Roche Financial Consultants Ltd	196689	27/10/2003	17/09/2004	Modification
IPRU(INV)13.1.3	Berkleigh Chard Personal & Commercial Financial Management	169791	04/09/2003	19/02/2004	Modification
IPRU(INV)13.1.3	Better Retirement Group Ltd	153420	17/10/2003	14/09/2004	Modification
IPRU(INV)13.1.3	BG Financial Services	196670	24/09/2003	13/09/2004	Modification
IPRU(INV)13.1.3	BHP Financial Planning Limited	191336	08/12/2003	30/09/2004	Modification
IPRU(INV)13.1.3	BIA Financial Planning Ltd	180564	02/09/2003	27/06/2004	Modification
IPRU(INV)13.1.3	Bigmore Associates	118353	23/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Birstall Insurance Services	126698	25/09/2003	28/04/2004	Modification
IPRU(INV)13.1.3	Blackett Walker Limited	169693	26/09/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Blackie Ivatt Associates	142395	30/09/2003	11/05/2004	Modification
IPRU(INV)13.1.3	Blenheim Financial Services	152890	20/08/2003	04/02/2004	Modification
IPRU(INV)13.1.3	Blyth-Richmond Investment Managers	114422	05/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Boag Taylor Limited	224536	27/10/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Bob Espie & Company (Financial Services)	142801	06/01/2004	22/12/2004	Modification
IPRU(INV)13.1.3	Bob Little & Company (Financial Services)	158455	24/10/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Bower & Bower	133998	11/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Bowyer Styles & Co Limited	134349	13/11/2003	25/03/2004	Modification
IPRU(INV)13.1.3	BPH Wealth Management	147223	12/09/2003	29/06/2004	Modification
IPRU(INV)13.1.3	Bradford Peters Financial Services Limited	145376	27/10/2003	30/03/2004	Modification
IPRU(INV)13.1.3	Bradley & Company Independent Financial Consultants Ltd	186762	17/09/2003	01/12/2003	Modification

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IPRU(INV)13.1.3	Brady & Rickers Limited	116482	22/10/2003	14/11/2003	Modification
IPRU(INV)13.1.3	Brady & Rickers Limited	116482	18/11/2003	14/11/2004	Modification
IPRU(INV)13.1.3	Braithwaite Investments Limited	175889	10/11/2003	01/07/2004	Modification
IPRU(INV)13.1.3	BRB FINANCIAL HORIZONS LIMITED	148204	29/09/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Brentwood Financial Services Ltd	197164	26/11/2003	25/10/2004	Modification
IPRU(INV)13.1.3	Brian J Murphy	138989	15/09/2003	09/09/2004	Modification
IPRU(INV)13.1.3	Bridge Financial Management	195473	08/12/2003	20/07/2004	Modification
IPRU(INV)13.1.3	Briggs Maunder Associates	148725	29/08/2003	17/06/2004	Modification
IPRU(INV)13.1.3	Brighton Williams & Partners	149307	26/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Broadway Financial Planning Limited	172189	20/08/2003	16/05/2004	Modification
IPRU(INV)13.1.3	Broadway Financial Services	148858	05/02/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Brockswood Financial Services	133849	03/09/2003	10/06/2004	Modification
IPRU(INV)13.1.3	Brooke Financial Management Ltd	195953	14/08/2003	13/08/2004	Modification
IPRU(INV)13.1.3	Brookridge Services Associates	131247	01/12/2003	06/11/2004	Modification
IPRU(INV)13.1.3	Brookson Financial Limited	179752	17/11/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Broughtons Financial Planning Ltd	196229	04/09/2003	31/07/2004	Modification
IPRU(INV)13.1.3	Brown Associates	135319	24/09/2003	21/04/2004	Modification
IPRU(INV)13.1.3	Browns Insurance Services	154784	04/02/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Bruce Stevenson Financial Services Limited	196823	05/09/2003	13/11/2003	Modification
IPRU(INV)13.1.3	Bryan Eddy Financial Planning	148579	01/09/2003	11/02/2004	Modification
IPRU(INV)13.1.3	Bryce-Smith & Partners	125800	05/09/2003	17/05/2004	Modification
IPRU(INV)13.1.3	Buckingham Financial Services	211991	18/08/2003	19/11/2003	Modification
IPRU(INV)13.1.3	Buckmaster and Company	147534	18/08/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Butcher & Moody Financial Services	143131	01/09/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Butcher & Moody Financial Services	143131	05/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	C & M Financial Services	182332	03/09/2003	02/09/2004	Waiver
IPRU(INV)13.1.3	C & S Insurance Consultants	134557	30/05/2003	30/05/2003	Waiver
IPRU(INV)13.1.3	C P Asset Management	188643	03/09/2003	14/02/2004	Modification
IPRU(INV)13.1.3	C.D. Wain (Life & Pensions) Limited	126429	22/09/2003	28/01/2004	Modification
IPRU(INV)13.1.3	C.H. Jeffries (Pensions and Financial Planning) Limited	116127	17/11/2003	13/10/2004	Modification

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IPRU(INV)13.1.3	C.I.B Life & Pensions Limited	133698	15/08/2003	14/08/2004	Modification
IPRU(INV)13.1.3	C.J. Greenbank & Company	153392	20/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	C.J. Hussey Partnership	126154	02/02/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	C.P. Associates	135638	02/07/2003	02/07/2004	Waiver
IPRU(INV)13.1.3	C.P. Associates	135638	27/08/2004	14/01/2005	Modification
IPRU(INV)13.1.3	C.R.B. Investment	133968	27/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Calangate Investments and Finance Limited	134789	01/10/2003	30/09/2004	Waiver
IPRU(INV)13.1.3	Calkin Pattinson & Company Limited	121025	02/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Callaway Sykes Associates Limited	116734	21/08/2003	30/10/2003	Modification
IPRU(INV)13.1.3	Campbell Insurance Services Limited	134756	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	Campbell-Brown Financial Services Limited	179377	29/12/2003	17/08/2004	Modification
IPRU(INV)13.1.3	Canham Associates Pension & Financial Consultants	131746	18/08/2003	24/03/2004	Modification
IPRU(INV)13.1.3	Capita Hartshead Financial Services Limited	126153	28/10/2003	17/09/2004	Modification
IPRU(INV)13.1.3	Capital & Counties (Financial Services) Limited	121412	19/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Capital Management Independent Financial Advice Ltd	208392	14/11/2003	01/11/2004	Modification
IPRU(INV)13.1.3	Capital Tower	153632	30/09/2003	09/12/2003	Modification
IPRU(INV)13.1.3	Carey and Johnston	126015	26/11/2003	30/11/2004	Modification
IPRU(INV)13.1.3	Carleton Financial Planning Limited	138117	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	Carlin Insurance Services	134833	07/11/2003	04/05/2004	Modification
IPRU(INV)13.1.3	Carroll London Markets Limited	116602	01/12/2003	30/09/2004	Modification
IPRU(INV)13.1.3	Carter Financial Services	147660	28/08/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Carter Pearl Limited	120822	29/08/2003	05/08/2004	Modification
IPRU(INV)13.1.3	Castle Hill Financial Planning	116470	17/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Castlebridge Financial Consultants Ltd	148683	01/09/2003	29/06/2004	Modification
IPRU(INV)13.1.3	Castlegate Financial Management Limited	169777	04/09/2003	14/07/2004	Modification
IPRU(INV)13.1.3	Cawley Financial Services Limited	144101	01/09/2003	28/06/2004	Modification
IPRU(INV)13.1.3	CB Financial Services Limited	121674	17/10/2003	25/06/2004	Modification
IPRU(INV)13.1.3	CBW Financial Planning Limited	182357	20/10/2003	30/09/2004	Modification
IPRU(INV)13.1.3	CCM Policies Limited	197406	17/12/2003	16/12/2004	Waiver
IPRU(INV)13.1.3	Cecil House Investments Limited	218923	13/08/2003	12/08/2004	Modification

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IPRU(INV)13.1.3	Centaur Financial Services Limited	134344	12/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Cestrian Life & Pensions	145191	16/07/2003	15/07/2004	Waiver
IPRU(INV)13.1.3	CFS Management Ltd	171480	11/10/2004	13/01/2005	Modification
IPRU(INV)13.1.3	CH Financial	115002	22/08/2003	03/11/2003	Modification
IPRU(INV)13.1.3	Chadwick & Company	125447	02/09/2003	28/02/2004	Modification
IPRU(INV)13.1.3	Chalfont Investment Consultants Limited	125116	08/09/2003	18/11/2003	Modification
IPRU(INV)13.1.3	Chamberlain Berry	189256	02/09/2003	01/12/2003	Modification
IPRU(INV)13.1.3	Chambers Commercial Insurance Brokers	119117	29/08/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Chancery Asset Management	181143	06/10/2003	31/08/2004	Modification
IPRU(INV)13.1.3	Chancery Partnership Limited	210093	12/08/2003	01/06/2004	Modification
IPRU(INV)13.1.3	Chapterhouse Independent Financial Advisers	143134	16/07/2003	16/07/2004	Waiver
IPRU(INV)13.1.3	Charles Jacques	134854	18/10/2004	13/01/2005	Waiver
IPRU(INV)13.1.3	CHARLES STANLEY INVESTMENT CHOICES LIMITED	114956	20/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Charles Wilkinson Insurance Brokers	118828	30/05/2003	30/05/2004	Waiver
IPRU(INV)13.1.3	Charlesworth Financial Planning	143935	18/11/2003	18/11/2004	Waiver
IPRU(INV)13.1.3	Charlwood IFA Limited	226338	15/10/2003	06/06/2004	Modification
IPRU(INV)13.1.3	Chartwell House Financial Services Limited	152766	01/09/2003	30/05/2004	Modification
IPRU(INV)13.1.3	Chaseside Financial Services Limited	138886	24/12/2003	20/02/2004	Modification
IPRU(INV)13.1.3	Cheesman & Groves	125966	01/09/2003	05/04/2004	Modification
IPRU(INV)13.1.3	Chelmsford Financial Management	121604	01/09/2003	23/11/2003	Modification
IPRU(INV)13.1.3	Chelmsford Financial Management	121604	03/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Chelsea Financial Services Plc	114493	19/11/2004	13/01/2005	Waiver
IPRU(INV)13.1.3	Chessman & Partners	118202	05/11/2003	26/10/2004	Modification
IPRU(INV)13.1.3	Chris Dodd Insurance Services	131336	25/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Chris Nixon Insurance Services	125671	02/09/2003	04/02/2004	Modification
IPRU(INV)13.1.3	Christies	120877	13/11/2003	15/04/2004	Modification
IPRU(INV)13.1.3	Christopher Hill Associates	176467	13/08/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Christopher Peerless & Company Limited	114350	06/10/2003	30/10/2004	Modification
IPRU(INV)13.1.3	Church's Financial Planning Limited	160494	03/09/2003	30/03/2004	Modification
IPRU(INV)13.1.3	Circle Financial Services Limited	148759	23/12/2003	30/04/2004	Modification

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IPRU(INV)13.1.3	Citadel Financial Services Ltd	176552	24/10/2003	26/09/2004	Modification
IPRU(INV)13.1.3	City Endowments Limited	190635	24/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	City Gates Financial Consultants Limited	134162	06/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Citybond Financial Advisers Limited	171451	08/09/2003	14/01/2004	Modification
IPRU(INV)13.1.3	CJL Probate & Financial Services	116396	08/06/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Clarendon Financial Solutions Limited	209080	19/11/2003	01/04/2004	Modification
IPRU(INV)13.1.3	Clarion Plc	116347	04/10/2003	29/02/2004	Modification
IPRU(INV)13.1.3	Clements and Partners	115297	12/08/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Clifford Williams and Associates	114696	18/05/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	CMS Financial Management Limited	121618	02/09/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Cockburn Lucas Independent Financial Consulting Limited	184275	11/09/2003	13/04/2004	Modification
IPRU(INV)13.1.3	Coleman Clough: Investment Management	125042	03/09/2003	16/05/2004	Modification
IPRU(INV)13.1.3	Comer and Farnan Pension and Insurance Consultants Ltd	118235	20/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Complete Financial Security	214280	14/10/2003	09/10/2004	Modification
IPRU(INV)13.1.3	Compton Financial Services	135581	24/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Connaught Financial Planning	195602	11/11/2003	10/11/2004	Waiver
IPRU(INV)13.1.3	Conway Smith and Company	155054	24/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Corneby Rose & Co.	148143	20/08/2003	26/02/2004	Modification
IPRU(INV)13.1.3	Corporate and Professional	150207	17/11/2003	19/10/2004	Modification
IPRU(INV)13.1.3	Corporate Financial Services	150293	15/10/2003	12/03/2004	Modification
IPRU(INV)13.1.3	County Financial Limited	145831	12/08/2003	23/02/2004	Modification
IPRU(INV)13.1.3	Court Ross Financial Management Limited	131794	06/11/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Courtiers Investment Services Limited	124995	08/10/2003	07/10/2004	Waiver
IPRU(INV)13.1.3	Covenham Financial Services Limited	126072	13/10/2003	19/08/2004	Modification
IPRU(INV)13.1.3	Covertriumph Limited	137997	05/09/2003	06/06/2004	Modification
IPRU(INV)13.1.3	CP Hodgson Limited	212752	29/08/2003	30/11/2003	Modification
IPRU(INV)13.1.3	CPN Investment Management	137593	13/10/2003	12/08/2004	Modification
IPRU(INV)13.1.3	Cramond Insurance Consultants Life and Pensions	188481	19/08/2003	14/07/2004	Modification
IPRU(INV)13.1.3	Cranwell Insurance and Investment Services Limited	135066	18/09/2003	29/04/2004	Modification
IPRU(INV)13.1.3	Crisp Financial Services Ltd	216166	20/11/2003	20/10/2004	Modification

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IPRU(INV)13.1.3	Croft & Southcombe	185848	23/09/2003	22/01/2004	Modification
IPRU(INV)13.1.3	Crossley Morris Financial Services	125742	11/09/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Crowe Financial Planning UK Limited	185323	14/11/2003	29/06/2004	Modification
IPRU(INV)13.1.3	Crownbank Insurance Services	133584	22/04/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	D B Wood Limited	209530	14/10/2003	27/09/2004	Modification
IPRU(INV)13.1.3	D C Financial Limited	170299	12/08/2003	11/06/2004	Modification
IPRU(INV)13.1.3	D J Fletcher (Insurances) Limited	134184	26/08/2003	30/03/2004	Modification
IPRU(INV)13.1.3	D M Raja Limited	148189	07/08/2003	06/08/2004	Modification
IPRU(INV)13.1.3	D M Raja Limited	148189	27/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	D MacLean & Co	146285	10/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	D.A. Owen & Company Financial Services	114834	24/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	D.P. Independent Mortgage & Investment Advisers	131221	27/08/2003	26/06/2004	Modification
IPRU(INV)13.1.3	D.S. Financial Services	118275	05/09/2003	10/11/2003	Modification
IPRU(INV)13.1.3	Daniel Associates	143905	27/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Dart Capital Limited	137569	03/03/2004	02/03/2005	Waiver
IPRU(INV)13.1.3	Dave Sebright Insurances	137387	14/08/2003	13/08/2004	Modification
IPRU(INV)13.1.3	David Adcock & Company	155322	02/06/2003	01/06/2004	Waiver
IPRU(INV)13.1.3	David Adcock & Company	155322	29/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	David Booler & Company	146287	14/08/2003	13/08/2004	Modification
IPRU(INV)13.1.3	David C. Humble & Company	126260	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	David Cope and Partners Limited	147395	21/08/2003	23/06/2004	Modification
IPRU(INV)13.1.3	David Crawford	142978	20/08/2003	19/08/2004	Waiver
IPRU(INV)13.1.3	David E. Smith & Company Limited	137651	22/09/2003	27/06/2004	Modification
IPRU(INV)13.1.3	David Granville-Sloper	185504	28/05/2003	27/05/2004	Waiver
IPRU(INV)13.1.3	David J Holmes Financial Planning and Investment Services	150477	05/09/2003	26/08/2004	Modification
IPRU(INV)13.1.3	David J Miller Financial Services	118920	03/09/2003	14/03/2004	Modification
IPRU(INV)13.1.3	David J. Charles Consultancy	116212	25/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	David J. Killen & Company (Insurances)	121038	03/09/2003	30/06/2004	Modification
IPRU(INV)13.1.3	David J. White Life & Pensions Consultant	142808	17/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	David James Financial Services Limited	149405	12/11/2003	02/10/2004	Modification

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IPRU(INV)13.1.3	David Leakey Associates	125027	25/11/2003	24/11/2004	Modification
IPRU(INV)13.1.3	David Nathan Associates	143191	09/10/2003	07/12/2004	Modification
IPRU(INV)13.1.3	David Roberts & Partners (Insurance Brokers) Ltd	143840	03/09/2003	24/07/2004	Modification
IPRU(INV)13.1.3	David Snell Insurance & Investment Services	126660	12/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	David Stock & Company Ltd	121754	03/09/2003	24/03/2004	Modification
IPRU(INV)13.1.3	David Whittle Consultancy Ltd	188656	20/10/2003	27/06/2004	Modification
IPRU(INV)13.1.3	David Williams Independent Financial Advisers	144797	20/08/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Davis Druckman Financial Services Limited	144227	11/09/2003	25/03/2004	Modification
IPRU(INV)13.1.3	Deeside Financial Limited	211487	15/11/2003	22/08/2004	Modification
IPRU(INV)13.1.3	Denebrook Financial Planning Limited	155282	17/12/2003	10/03/2004	Modification
IPRU(INV)13.1.3	Denis Light Insurance Services	125548	05/12/2003	17/11/2004	Modification
IPRU(INV)13.1.3	Derek Tidy and Partners LLP	207648	08/12/2003	19/03/2004	Modification
IPRU(INV)13.1.3	Devonshire Financial Services Limited	125270	09/09/2003	06/04/2004	Modification
IPRU(INV)13.1.3	Diana Shears Financial Services	125048	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	Doherty Pension & Investment Consultancy Limited	186761	30/09/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Donald Morgan Insurance Services	136682	19/11/2003	30/01/2004	Modification
IPRU(INV)13.1.3	Donald Robertson & Partners	136532	17/10/2003	16/10/2004	Modification
IPRU(INV)13.1.3	Dorson Limited	116256	08/10/2003	10/11/2003	Modification
IPRU(INV)13.1.3	Doshi Financial Services Limited	141846	29/07/2003	28/07/2004	Waiver
IPRU(INV)13.1.3	Dr David Smith Financial Services	183101	22/09/2003	21/09/2004	Waiver
IPRU(INV)13.1.3	DTM's Life & Pensions Limited	135071	29/06/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Duchy Financial Services Limited	126744	05/09/2003	07/06/2004	Modification
IPRU(INV)13.1.3	Duke Pension Services Limited	166068	18/08/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Dunedin Independent Plc	182947	27/11/2003	31/01/2004	Modification
IPRU(INV)13.1.3	DWA Protector Limited	133946	10/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	E Allen & Co	118364	14/08/2003	25/06/2004	Modification
IPRU(INV)13.1.3	E J Glanville & Co (Investment Brokers) Limited	116355	21/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	E.P. Syrett Limited	118013	28/08/2003	30/01/2004	Modification
IPRU(INV)13.1.3	Eastern Counties	150461	29/08/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Eastlake & Beachell Limited	125531	20/08/2003	14/04/2004	Modification

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IPRU(INV)13.1.3	Edison Consulting	164929	10/11/2003	21/05/2004	Modification
IPRU(INV)13.1.3	Edison Consulting Limited	185477	07/11/2003	01/09/2004	Modification
IPRU(INV)13.1.3	Edwards & Pringle	114384	26/08/2003	25/08/2004	Waiver
IPRU(INV)13.1.3	Egan Roberts Financial Services Limited	147606	08/09/2003	06/12/2003	Modification
IPRU(INV)13.1.3	Egerton Nichols Limited	131449	29/08/2003	17/03/2004	Modification
IPRU(INV)13.1.3	EIC Financial Services	131271	10/09/2003	12/08/2004	Modification
IPRU(INV)13.1.3	EIC Financial Services	131271	12/08/2003	28/08/2004	Modification
IPRU(INV)13.1.3	Ellerton Knight	126460	02/12/2003	16/02/2004	Modification
IPRU(INV)13.1.3	Elno Investment Consultants	125106	29/10/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Embassy Financial Planning Limited	138107	15/01/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Enable Independent Limited	221076	05/09/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Eric Rawlins (Life & Pensions) Limited	120945	08/09/2003	14/12/2003	Modification
IPRU(INV)13.1.3	Eric Rawlins (Life & Pensions) Limited	120945	19/11/2003	14/12/2004	Modification
IPRU(INV)13.1.3	Eric Warren Financial Services Limited	121539	29/08/2003	14/11/2003	Modification
IPRU(INV)13.1.3	Ethos Financial Solutions Ltd	141927	01/09/2003	31/08/2004	Modification
IPRU(INV)13.1.3	Evans Hart Limited	121066	10/09/2003	28/06/2004	Modification
IPRU(INV)13.1.3	Eveleigh & Huckle	114431	07/11/2003	14/12/2004	Modification
IPRU(INV)13.1.3	Eversley Financial Management	126148	09/10/2003	14/01/2004	Modification
IPRU(INV)13.1.3	Excel (Life Assurance - Pension & Mortgage Consultants)	134529	28/05/2003	27/05/2004	Waiver
IPRU(INV)13.1.3	Excel (Life Assurance - Pension & Mortgage Consultants)	134529	24/08/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Exclusive Asset Management Limited	198002	20/10/2003	21/02/2004	Modification
IPRU(INV)13.1.3	Executive Benefit Services (UK) Limited	134459	02/09/2003	01/09/2004	Waiver
IPRU(INV)13.1.3	Executive Benefit Services (UK) Limited	134459	18/11/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Executive Financial Planning	154863	26/11/2003	06/12/2004	Modification
IPRU(INV)13.1.3	F H. Manning Financial Services Limited	114341	09/07/2003	10/07/2004	Waiver
IPRU(INV)13.1.3	F T Insurance Services	150159	14/11/2003	13/11/2004	Waiver
IPRU(INV)13.1.3	Feast Noble & Co	190989	20/08/2003	19/08/2004	Waiver
IPRU(INV)13.1.3	Filefont Limited	197492	11/09/2003	30/01/2004	Modification
IPRU(INV)13.1.3	Financial Advice and Services Limited	147876	20/08/2003	27/02/2004	Modification
IPRU(INV)13.1.3	Financial Connection	209449	18/11/2003	14/08/2004	Modification

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IPRU(INV)13.1.3	Financial Direction	125633	08/09/2003	07/06/2004	Modification
IPRU(INV)13.1.3	FINANCIAL EXPRESS INVESTMENTS LTD	209967	16/09/2003	04/06/2004	Modification
IPRU(INV)13.1.3	Financial Management	149408	06/08/2003	05/08/2004	Waiver
IPRU(INV)13.1.3	Financial Management Services	212434	30/09/2003	20/09/2004	Modification
IPRU(INV)13.1.3	Financial Planning & Investment Limited	135711	05/09/2003	31/07/2004	Modification
IPRU(INV)13.1.3	Findlay & Company Financial Services Limited	188198	01/09/2003	17/12/2003	Modification
IPRU(INV)13.1.3	Finesco Financial Services Limited	114543	05/12/2003	30/10/2004	Modification
IPRU(INV)13.1.3	Finsol Limited	190002	24/09/2003	15/09/2004	Modification
IPRU(INV)13.1.3	First Time Home Buyers Advisory Service Limited	134123	12/08/2003	11/08/2004	Waiver
IPRU(INV)13.1.3	First Time Home Buyers Advisory Service Limited	134123	20/10/2004	13/01/2005	Waiver
IPRU(INV)13.1.3	Fiscal House Limited	220011	10/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Fleming Asset Management Limited	183113	17/10/2003	18/09/2004	Modification
IPRU(INV)13.1.3	Flemmings Financial Services Ltd	190637	10/11/2003	09/11/2004	Waiver
IPRU(INV)13.1.3	FMS South Park Limited	172880	13/11/2003	17/10/2004	Modification
IPRU(INV)13.1.3	Focused Financial Services	197271	12/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Forrester-Hyde	116199	29/08/2003	24/06/2004	Modification
IPRU(INV)13.1.3	Forsythe Financial Services	133807	13/11/2003	15/06/2004	Modification
IPRU(INV)13.1.3	Fortune Financial Services	125073	24/09/2003	24/09/2003	Modification
IPRU(INV)13.1.3	Forty Two Financial Planning	121736	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	Forward Financial Planning Ltd	118397	17/10/2003	16/10/2004	Waiver
IPRU(INV)13.1.3	Foysguard Investments Limited	121210	25/11/2003	15/10/2004	Modification
IPRU(INV)13.1.3	FPC Financial Services Ltd	196444	30/09/2003	31/01/2004	Modification
IPRU(INV)13.1.3	Franklins Financial Services	138309	02/10/2003	29/01/2004	Modification
IPRU(INV)13.1.3	Fraser-Hann Financial Services Limited	134865	29/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	G & O Insurance Services Limited	116370	21/10/2003	17/07/2004	Modification
IPRU(INV)13.1.3	G D Tancred Financial Services Limited	138947	28/08/2003	03/10/2003	Modification
IPRU(INV)13.1.3	G D Tancred Financial Services Limited	138947	26/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	G G Lewis and Company	150161	20/04/2004	20/04/2004	Waiver
IPRU(INV)13.1.3	G S Lunnon & Co Limited	125099	21/10/2003	12/10/2004	Modification
IPRU(INV)13.1.3	G. Edward Stait & Associates Limited	139026	01/12/2003	31/10/2004	Modification

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IPRU(INV)13.1.3	G.M. Jones	121465	18/08/2003	11/02/2004	Modification
IPRU(INV)13.1.3	G.M. Towns and Partners	125572	17/11/2003	22/10/2004	Modification
IPRU(INV)13.1.3	G.N. Byrd & Company	120782	13/10/2003	16/09/2004	Modification
IPRU(INV)13.1.3	G60 Limited	195826	02/09/2003	31/10/2004	Modification
IPRU(INV)13.1.3	G60 Limited	195826	27/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Gainsborough Financial Services	145971	09/10/2003	03/03/2004	Modification
IPRU(INV)13.1.3	Galloway Whitfield (Life & Pensions) Limited	114917	22/08/2003	21/08/2004	Modification
IPRU(INV)13.1.3	Gaunt Hall Independent Financial Advisers	166055	15/09/2003	13/03/2004	Modification
IPRU(INV)13.1.3	Gavin J Whippy	118985	29/12/2003	31/01/2004	Modification
IPRU(INV)13.1.3	GD Partnership	148054	21/10/2003	20/08/2004	Modification
IPRU(INV)13.1.3	GEE & WATSON WEALTH MANAGEMENT LIMITED	115182	03/09/2003	01/03/2004	Modification
IPRU(INV)13.1.3	GEM Financial Services	207569	28/08/2003	10/01/2004	Modification
IPRU(INV)13.1.3	Gent & Craig Insurance	131264	18/11/2003	09/10/2004	Modification
IPRU(INV)13.1.3	Gerard Associates	144715	28/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Gerard Independent Financial Advisors	148150	28/10/2003	22/10/2004	Waiver
IPRU(INV)13.1.3	Gibbs Bosson Limited	146852	22/08/2003	01/12/2003	Modification
IPRU(INV)13.1.3	Giles Warren Associates	183411	25/09/2003	06/03/2004	Modification
IPRU(INV)13.1.3	Gill & Partners Ltd	171411	19/11/2003	14/10/2004	Modification
IPRU(INV)13.1.3	Gilliland Neilson Brown Limited	197121	24/09/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Glamis Limited	125405	01/09/2003	03/05/2004	Modification
IPRU(INV)13.1.3	Global Promotions Limited	134038	17/11/2003	07/03/2004	Modification
IPRU(INV)13.1.3	Goddard Perry Consulting Ltd	125376	20/10/2003	16/09/2004	Modification
IPRU(INV)13.1.3	Golden Square Wealth Management Limited	196274	06/10/2003	16/09/2004	Modification
IPRU(INV)13.1.3	Golden Square Wealth Management Limited	196274	29/10/2003	16/09/2004	Modification
IPRU(INV)13.1.3	Goldstar Insurance Services Limited	149766	25/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	GORMAN FINANCIAL ADVISER	135026	05/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Graham Brown and Company (Life & Pensions) Limited	131796	03/09/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Graham Brown and Company (Life & Pensions) Limited	131796	23/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Graham Grant IFA Limited	162024	11/09/2003	02/11/2003	Modification
IPRU(INV)13.1.3	Graham Hackling Insurances	133741	25/09/2003	23/06/2004	Modification

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IPRU(INV)13.1.3	Granville Bates	146588	15/09/2003	05/08/2004	Modification
IPRU(INV)13.1.3	Granville Financial Services Limited	126325	20/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Green Financial Planning	191809	22/08/2003	28/03/2004	Modification
IPRU(INV)13.1.3	Greenwood Consultants	125856	14/08/2003	13/08/2004	Modification
IPRU(INV)13.1.3	Greg Smith Financial & Insurance Services	144947	24/09/2003	09/09/2004	Modification
IPRU(INV)13.1.3	Gregory Adam Financial Management	136332	02/10/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Gregory Adam Financial Management	136332	07/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Griersons	126302	24/09/2003	06/03/2004	Modification
IPRU(INV)13.1.3	Griffin Financial Services	126101	27/06/2003	26/06/2004	Waiver
IPRU(INV)13.1.3	Griffin Financial Services	126101	18/11/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Griffin Wylde Limited	115092	15/09/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Griffins Financial Solutions Limited	118099	03/09/2003	17/08/2004	Modification
IPRU(INV)13.1.3	Grossfield (Financial Services) Limited	134903	10/07/2003	06/07/2004	Waiver
IPRU(INV)13.1.3	Grossfield (Financial Services) Limited	134903	04/08/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Grosvenor Butterworth (Financial Services) Limited	152754	10/09/2003	07/04/2004	Modification
IPRU(INV)13.1.3	Grosvenor House	134895	14/10/2003	14/12/2003	Modification
IPRU(INV)13.1.3	Grovenor Financial Management Consultancy	134885	26/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Groves Financial Planning	149596	03/09/2003	31/12/2004	Modification
IPRU(INV)13.1.3	Guardian Financial Planners Limited	138895	03/09/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Halebarns Financial Planning Ltd	195937	14/01/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Hallam Smith and Associates	144713	18/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Hamilton Finance	181905	22/08/2003	30/11/2003	Modification
IPRU(INV)13.1.3	Hammond Raggett & Company Limited	194710	15/08/2003	14/08/2004	Modification
IPRU(INV)13.1.3	Handscombe Financial Planning Ltd	114655	17/06/2003	16/06/2004	Waiver
IPRU(INV)13.1.3	Hanna McLaughlin	147489	28/10/2003	27/10/2004	Waiver
IPRU(INV)13.1.3	Hanover Pensions Limited	185411	27/05/2003	26/05/2004	Waiver
IPRU(INV)13.1.3	Harding Roberts & Company	131250	01/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Hardy MacKenzie Pensions	138304	28/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Harold Wilson Financial Services Limited	121023	15/08/2003	14/08/2004	Modification
IPRU(INV)13.1.3	Harrington Wood Bath Limited	191383	12/11/2003	30/01/2004	Modification

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IPRU(INV)13.1.3	Harris Investment Management	120775	13/06/2003	10/06/2004	Waiver
IPRU(INV)13.1.3	Harris Investment Management	120775	24/08/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Harrison Investment Services	191304	29/08/2003	28/08/2004	Modification
IPRU(INV)13.1.3	Harrold Financial Planning	133943	11/12/2003	20/11/2004	Modification
IPRU(INV)13.1.3	Hartley Greatbatch & Company	148866	25/02/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Hartley Wadsworth & Partners	173408	13/08/2003	12/08/2004	Waiver
IPRU(INV)13.1.3	Havant Insurance & Financial Services	121266	27/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Havant Insurance & Financial Services	121266	13/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	HBS (Financial Planning) Limited	193759	23/06/2003	05/06/2004	Waiver
IPRU(INV)13.1.3	HCI Financial Services Limited	197342	10/11/2003	17/06/2004	Modification
IPRU(INV)13.1.3	Headstart Financial Services	207489	02/09/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Hendzel Associates	138939	21/11/2003	15/10/2004	Modification
IPRU(INV)13.1.3	Henry Bulteel	193891	07/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Herbert Scott Ltd	179810	03/09/2003	30/04/2004	Modification
IPRU(INV)13.1.3	HFMC Wealth Management Ltd	146717	16/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	HFS Milbourne Financial Services Limited	125051	11/09/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Hibbins Financial Services	133776	05/12/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Highcross Insurance & Finance	189854	28/05/2003	27/05/2004	Waiver
IPRU(INV)13.1.3	Highfield Financial Planning Limited	435914	10/10/2003	18/09/2004	Modification
IPRU(INV)13.1.3	Highwood Financial Services	135717	08/09/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Hillier and Associates (Financial Planning) Ltd	125240	18/11/2003	15/10/2004	Modification
IPRU(INV)13.1.3	HK Wealth Managers Ltd	209848	17/09/2003	24/09/2004	Modification
IPRU(INV)13.1.3	HMB Independent Financial Services	126681	04/09/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Hobson Financial Planning Limited	126777	13/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Holmes Financial Planning Independent Financial Advisers	116408	11/08/2003	27/03/2004	Modification
IPRU(INV)13.1.3	Home & Finance IFA Limited	135250	23/10/2003	11/09/2004	Modification
IPRU(INV)13.1.3	Hopkinson Associates	115201	08/12/2003	10/08/2004	Modification
IPRU(INV)13.1.3	Horwath Financial Services Midlands Limited	189429	11/09/2003	29/06/2004	Modification
IPRU(INV)13.1.3	Houghton Marsh Financial Services Limited	147200	10/10/2003	14/01/2004	Modification
IPRU(INV)13.1.3	Howard Bradley and Company	138310	11/06/2003	10/06/2004	Waiver

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IPRU(INV)13.1.3	Howard Financial Services Limited	219306	25/11/2003	13/11/2004	Modification
IPRU(INV)13.1.3	Howard Wright Ltd	114610	19/09/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Howard Wright Ltd	114610	22/09/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Hoyland Financial Management	121576	14/04/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Hudson Foster Financial Services Limited	131285	04/09/2003	15/12/2003	Modification
IPRU(INV)13.1.3	Hugh Davies Associates Limited	125569	17/11/2003	14/09/2004	Modification
IPRU(INV)13.1.3	Hunter & Co (IFA) Limited	191615	17/09/2003	08/03/2004	Modification
IPRU(INV)13.1.3	Hunter Aitkenhead & Walker Ltd	116336	14/10/2003	07/09/2004	Modification
IPRU(INV)13.1.3	Huson, Biggs & Company	125894	25/11/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Hyams, McGilvray & Company	114460	24/04/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Hyde Gardens Limited	149081	07/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Hynes Davis Limited	178759	24/10/2003	16/10/2004	Modification
IPRU(INV)13.1.3	I.A. Mutch & Company (Financial Planning Consultants)	116174	21/10/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Ichthus Financial Services	135451	15/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	IFA Select	207561	06/05/2004	14/01/2005	Modification
IPRU(INV)13.1.3	IFM Financial Services Ltd	400188	09/09/2003	26/06/2004	Modification
IPRU(INV)13.1.3	IFPC Limited	144197	10/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	In2 Consulting Limited	194740	13/08/2003	08/02/2004	Modification
IPRU(INV)13.1.3	Independent Advisory Services	181095	14/06/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Independent Financial Options	170021	19/08/2003	18/08/2004	Waiver
IPRU(INV)13.1.3	Independent Financial Options	170021	24/09/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Independent Financial Publications	163117	23/10/2003	25/08/2004	Modification
IPRU(INV)13.1.3	Independent Insurance Advisers (Cheltenham) Limited	133801	17/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Independent Money Information Limited	133525	22/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Independent Personal Financial Management	121745	03/10/2003	17/09/2004	Modification
IPRU(INV)13.1.3	Index Fund Management Limited	135509	06/10/2003	10/02/2004	Modification
IPRU(INV)13.1.3	Ingram Phillips Independent Financial Services	147177	01/09/2003	08/01/2004	Modification
IPRU(INV)13.1.3	Insurance, Mortgages and Investment Centre	135282	08/09/2003	25/03/2004	Modification
IPRU(INV)13.1.3	Intelligent Pensions Ltd	186250	09/09/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Investacc Limited	154918	22/10/2003	30/04/2004	Modification

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IPRU(INV)13.1.3	Investax Limited	197493	29/08/2003	04/11/2004	Modification
IPRU(INV)13.1.3	IPAS Ltd	125802	13/08/2003	10/05/2004	Modification
IPRU(INV)13.1.3	IPTC Limited	150002	03/09/2003	14/05/2004	Modification
IPRU(INV)13.1.3	IRESS Portal Limited	162012	28/11/2003	28/09/2004	Modification
IPRU(INV)13.1.3	Isis Financial Planners Limited	207297	01/09/2003	24/01/2004	Modification
IPRU(INV)13.1.3	J E Leggett Financial Services	118129	29/01/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	J W Hickinson & Co	121551	21/11/2003	31/07/2004	Modification
IPRU(INV)13.1.3	J. Edward Sellars & Partners Limited	116320	28/08/2003	03/02/2004	Modification
IPRU(INV)13.1.3	J.A. Lawson Health & Life Insurance	135456	28/08/2003	18/03/2004	Modification
IPRU(INV)13.1.3	J.B. Klein Financial Services Limited	154730	24/11/2003	31/12/2004	Modification
IPRU(INV)13.1.3	J.B.W Associates Limited	121534	20/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	J.R. Pritchard Financial & Assurance Consultants	125062	19/08/2003	16/05/2004	Modification
IPRU(INV)13.1.3	J.R. Russell & Company (Wishaw)	116465	26/08/2003	26/02/2004	Modification
IPRU(INV)13.1.3	J.S.P. Financial Services Limited	149623	10/09/2003	06/11/2003	Modification
IPRU(INV)13.1.3	Jackson Paterson Limited	153521	21/08/2003	11/06/2004	Modification
IPRU(INV)13.1.3	Jamar Financial (Insurance) Services	134513	04/09/2003	31/12/2003	Modification
IPRU(INV)13.1.3	James Davis (Insurance Brokers) Limited	114407	24/09/2003	19/08/2004	Modification
IPRU(INV)13.1.3	James Hallam Limited	134435	27/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	James M Smyth Life & Pensions	138917	29/09/2003	28/09/2004	Waiver
IPRU(INV)13.1.3	James Murray Associates	116274	04/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	James Murray Associates	116274	01/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	James Phillips and Company	146982	07/11/2003	07/11/2004	Waiver
IPRU(INV)13.1.3	Jamieson Financial Management Limited	188298	16/09/2003	16/12/2003	Modification
IPRU(INV)13.1.3	Jennings Insurance & Investment Services	121641	18/08/2003	17/08/2004	Waiver
IPRU(INV)13.1.3	Jennings Insurance & Investment Services	121641	02/09/2004	14/01/2005	Modification
IPRU(INV)13.1.3	John Booth & Co Financial Services	120993	03/09/2004	14/01/2005	Modification
IPRU(INV)13.1.3	John Cotton	136224	02/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	John Currie Financial Management Limited	114663	10/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	John Dyer (Life & Pensions) Limited	125135	19/11/2003	23/09/2004	Modification
IPRU(INV)13.1.3	John Head Finance	126113	03/09/2003	18/09/2003	Modification

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IPRU(INV)13.1.3	John Head Finance	126113	25/11/2003	22/10/2004	Modification
IPRU(INV)13.1.3	John Maltby Insurance Services	136277	09/01/2004	09/01/2005	Modification
IPRU(INV)13.1.3	John McKay (Insurance) Limited	116674	20/11/2003	09/11/2004	Modification
IPRU(INV)13.1.3	John McKeown & Son	138973	28/10/2003	27/10/2004	Waiver
IPRU(INV)13.1.3	John S. Pidgeon & Company	138152	19/08/2003	18/08/2004	Waiver
IPRU(INV)13.1.3	John Wason (Insurance Brokers) Limited	118591	12/08/2003	11/08/2004	Modification
IPRU(INV)13.1.3	John Wright Financial Services	137213	29/08/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Johnson Gower Financial Planning Limited	170809	13/08/2003	04/03/2004	Modification
IPRU(INV)13.1.3	Johnston Campbell Partnership	146440	12/12/2003	03/07/2004	Modification
IPRU(INV)13.1.3	Johnston Financial Services Limited	131706	12/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Jonathan Codd	193761	21/05/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Jonathan Knight	118803	24/10/2003	28/11/2004	Modification
IPRU(INV)13.1.3	JR & MS Turco Independent Financial Advisers	115055	01/10/2003	30/09/2004	Waiver
IPRU(INV)13.1.3	JS Financial Advice Service	180894	26/11/2003	20/11/2004	Modification
IPRU(INV)13.1.3	K C Pettener & Company Limited	125541	30/09/2003	29/11/2003	Modification
IPRU(INV)13.1.3	K F Garner Financial Services	119079	09/09/2003	28/04/2004	Modification
IPRU(INV)13.1.3	K G J Insurance Brokers (Stourbridge) Limited	116769	03/09/2003	25/06/2004	Modification
IPRU(INV)13.1.3	K P M Financial Planning Ltd	191920	02/09/2003	18/06/2004	Modification
IPRU(INV)13.1.3	K Stephenson Financial Services	179096	06/10/2003	17/09/2004	Modification
IPRU(INV)13.1.3	K. D. R. Financial Services	148597	29/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Kane Associates	198001	24/10/2003	23/10/2004	Waiver
IPRU(INV)13.1.3	Keith Montgomery Associates Limited	136684	19/09/2003	18/09/2004	Waiver
IPRU(INV)13.1.3	Keith Montgomery Associates Limited	136684	01/10/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Kemble Warwick & Company	134942	03/09/2003	02/01/2005	Modification
IPRU(INV)13.1.3	Kempster Lobo (Insurance Brokers) Limited	115029	20/11/2003	01/12/2004	Modification
IPRU(INV)13.1.3	Ken Baker	155077	02/09/2003	17/12/2004	Modification
IPRU(INV)13.1.3	Kent Insurance Services	125812	10/12/2003	11/05/2004	Modification
IPRU(INV)13.1.3	Kerswell Stone & Company	116245	12/09/2003	05/01/2004	Modification
IPRU(INV)13.1.3	Kevin Grimwood	116502	23/10/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Kieldsen McLean Financial Services	143610	07/01/2004	31/10/2004	Modification

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IPRU(INV)13.1.3	Kieron Bassett Financial Services	144667	04/09/2003	12/02/2004	Modification
IPRU(INV)13.1.3	Kilby Ritson Limited	154368	17/09/2003	08/09/2004	Modification
IPRU(INV)13.1.3	Kimberley Financial Services	146892	12/09/2003	26/03/2004	Modification
IPRU(INV)13.1.3	Kimberley Financial Services	146892	15/04/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Kingsgate Financial Services	191506	12/08/2003	05/04/2004	Modification
IPRU(INV)13.1.3	Kingsley Neville Limited	147519	11/11/2003	18/09/2004	Modification
IPRU(INV)13.1.3	Kingsway Financial Services Ltd	190593	21/11/2003	24/10/2004	Modification
IPRU(INV)13.1.3	Kingswood Consultants	141817	27/10/2003	06/09/2004	Modification
IPRU(INV)13.1.3	Kirrage Williams Limited	136964	09/01/2004	08/01/2005	Waiver
IPRU(INV)13.1.3	Kishore A. Shah Insurance Consultant	137559	19/11/2003	18/02/2004	Modification
IPRU(INV)13.1.3	KM Financial Advisers (Scotland) Limited	190578	15/08/2003	04/07/2004	Modification
IPRU(INV)13.1.3	KMG Financial Limited	134293	22/12/2003	21/12/2004	Waiver
IPRU(INV)13.1.3	Kohn Cougar	125343	06/10/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Kusumben Chandrakant Patel	125330	06/11/2003	05/11/2004	Waiver
IPRU(INV)13.1.3	Lacomp Plc	115020	30/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Lane Financial Services	171091	04/09/2003	17/11/2003	Modification
IPRU(INV)13.1.3	Latimer Skilling	133771	21/08/2003	06/12/2004	Modification
IPRU(INV)13.1.3	Lawrence Flanagan and Company	126716	24/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Lawson Financial Management	134721	05/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Les Carter Financial Services	135535	10/02/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Lewis & Co (Investments & Pensions) Limited	143646	17/11/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Leyton Financial Services	186615	13/10/2003	26/01/2004	Modification
IPRU(INV)13.1.3	Lifestyle Financial Services Limited	143005	02/12/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Lighthouse Advisory Services Limited	195199	09/09/2003	30/09/2003	Modification
IPRU(INV)13.1.3	Lighthouse Financial Services	186793	07/10/2003	05/08/2004	Modification
IPRU(INV)13.1.3	Ling Cook Insurance Services Limited	125298	27/10/2003	04/03/2004	Modification
IPRU(INV)13.1.3	Liontrust Asset Managers Limited	191075	05/11/2003	30/09/2004	Modification
IPRU(INV)13.1.3	Liontrust Asset Managers Limited	191075	05/11/2003	30/09/2004	Modification
IPRU(INV)13.1.3	Logan Grant IFA	149717	13/09/2003	12/09/2004	Waiver
IPRU(INV)13.1.3	Logie Financial Consultants	154783	07/07/2003	30/06/2004	Waiver

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IPRU(INV)13.1.3	Logie Financial Consultants	154783	27/09/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Lonsdale Financial Consulting Ltd	189974	12/08/2003	14/02/2004	Modification
IPRU(INV)13.1.3	Lonsdale Financial Services Limited	149553	29/08/2003	27/08/2004	Waiver
IPRU(INV)13.1.3	Lotus Benefit Consultants Limited	186675	13/01/2004	12/01/2005	Waiver
IPRU(INV)13.1.3	Lowes Financial Management Limited	114650	12/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Lowndes Halsden & Partners Limited	150469	24/09/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Ludlow & Co	163578	20/11/2003	12/11/2004	Modification
IPRU(INV)13.1.3	M & W Associates	163327	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	M D H Hughes Limited	155386	25/09/2003	28/02/2004	Modification
IPRU(INV)13.1.3	M.H. Hier & Company	131200	07/11/2003	06/11/2004	Waiver
IPRU(INV)13.1.3	M.J. Harrison (Life & Pensions)	148723	22/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	M.J. Petter Life Assurance	137128	15/10/2003	30/01/2004	Modification
IPRU(INV)13.1.3	MacBeth, Scott & Company Life & Pensions Services Limited	131459	21/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	MacFarlane Gray Financial Services Limited	210864	25/09/2003	12/09/2004	Modification
IPRU(INV)13.1.3	MacKinnon & Company	158899	01/12/2003	22/04/2004	Modification
IPRU(INV)13.1.3	Malcolm J White	153579	29/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Malcolm Miles Financial Services	155382	06/08/2003	05/08/2004	Waiver
IPRU(INV)13.1.3	Malcolm Patrick White	156497	21/11/2003	26/09/2004	Modification
IPRU(INV)13.1.3	Malcolm Wood Insurance Services	125435	09/10/2003	31/08/2004	Modification
IPRU(INV)13.1.3	Mall-Wood Insurance Services	136422	29/08/2003	28/02/2004	Modification
IPRU(INV)13.1.3	Manners Horne & Co	148000	23/10/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Manor Brokers	119103	29/07/2003	28/07/2004	Waiver
IPRU(INV)13.1.3	Manor Brokers	131243	13/10/2003	11/09/2004	Modification
IPRU(INV)13.1.3	Manor Financial Management Limited	126543	08/09/2003	29/06/2004	Modification
IPRU(INV)13.1.3	Mansbrook Brosche & Company Limited	114986	25/09/2003	16/04/2004	Modification
IPRU(INV)13.1.3	Mark Davies Financial Adviser	162514	11/11/2003	05/06/2004	Modification
IPRU(INV)13.1.3	Marks Jacobson Financial Services Limited	161222	17/10/2003	16/10/2004	Waiver
IPRU(INV)13.1.3	Marlborough Investment Management Limited	115231	24/02/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Marshall Ewart & Graham Ltd	163440	15/08/2003	14/08/2004	Modification
IPRU(INV)13.1.3	Marshall James & Company Financial Management Services	121600	13/10/2003	31/10/2003	Modification

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IPRU(INV)13.1.3	Marshallsay Mumford	152769	01/09/2003	29/11/2003	Modification
IPRU(INV)13.1.3	Martin Andrews & Associates Ltd	185204	22/08/2003	19/10/2003	Modification
IPRU(INV)13.1.3	Martin Bird (Life & Pensions) Limited	121597	01/09/2003	29/09/2003	Modification
IPRU(INV)13.1.3	Martin Briggs	186318	12/08/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Martin Gray & Associates Limited	145387	22/05/2003	21/05/2004	Waiver
IPRU(INV)13.1.3	Martin Gray & Associates Limited	145387	22/07/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Martyn Smith & Co	115199	29/08/2003	29/03/2004	Modification
IPRU(INV)13.1.3	Mason & Ball Services Limited	121397	28/08/2003	07/02/2004	Modification
IPRU(INV)13.1.3	Mastersons	178973	27/04/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Mathers, Harrison & Company	131437	11/09/2003	25/04/2004	Modification
IPRU(INV)13.1.3	Matthew Round & Company	137893	18/11/2003	16/03/2004	Modification
IPRU(INV)13.1.3	Mattinson Ginty and Partners (Financial Services) Limited	150123	28/08/2003	31/01/2004	Modification
IPRU(INV)13.1.3	Maureen Marsh Financial Plannning	125467	22/09/2003	25/08/2004	Modification
IPRU(INV)13.1.3	Maurice Herbert Independent Financial Advisers	121317	22/08/2003	21/08/2004	Modification
IPRU(INV)13.1.3	MBT Insurance Services Limited	118335	05/11/2003	19/10/2004	Modification
IPRU(INV)13.1.3	McGarrie, Vahey & Partners (Financial Planning)	114505	21/11/2003	29/10/2004	Modification
IPRU(INV)13.1.3	McGee Lindsay and Company	137403	28/10/2003	10/03/2004	Modification
IPRU(INV)13.1.3	McGowan Independent Financial Advisors	150252	04/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	McGowan Independent Financial Advisors	150252	07/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	McHardy Financial Limited	126147	18/08/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Medical & Dental Financial Management	115113	05/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Medical & General Insurance Services	136077	07/10/2003	30/09/2004	Waiver
IPRU(INV)13.1.3	Medical Assurance Bureau	125944	28/05/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Mellor Associates	155380	31/03/2004	15/01/2005	Waiver
IPRU(INV)13.1.3	Melvyn R. Davies, Esq.	125422	09/10/2003	13/12/2004	Modification
IPRU(INV)13.1.3	Mercantile Financial Services (North West) Limited	150614	27/01/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Meridian Financial Management Limited	151556	28/08/2003	07/06/2004	Modification
IPRU(INV)13.1.3	Meridian Financial Services	178587	10/10/2003	22/10/2003	Modification
IPRU(INV)13.1.3	Merlin Financial Consultants Limited	138777	30/09/2003	06/04/2004	Modification
IPRU(INV)13.1.3	Messrs Geraint Dafis and Company	146893	24/09/2003	23/01/2004	Modification

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IPRU(INV)13.1.3	Messrs R F Broadley	118780	15/10/2003	09/10/2004	Modification
IPRU(INV)13.1.3	Metropolitan Insurance Services	137320	24/11/2003	23/11/2004	Waiver
IPRU(INV)13.1.3	MFS Partners Limited	171342	28/08/2003	25/06/2004	Modification
IPRU(INV)13.1.3	MG Global Investment Limited	191470	28/11/2003	13/08/2004	Modification
IPRU(INV)13.1.3	MG Shaw (UK) Limited	217383	29/08/2003	25/09/2003	Modification
IPRU(INV)13.1.3	MGA Financial Management Limited	188581	28/08/2003	03/11/2004	Modification
IPRU(INV)13.1.3	Michael Andrew & Baddow Insurance Brokers	146638	01/09/2003	06/06/2004	Modification
IPRU(INV)13.1.3	Michael Chapman	117967	24/09/2003	31/08/2004	Modification
IPRU(INV)13.1.3	Michael Cull (Financial Planning) Limited	116510	16/09/2003	02/09/2004	Modification
IPRU(INV)13.1.3	Michael D Summers	136730	22/04/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Michael Hopkins Insurance Services	125514	13/10/2003	30/10/2003	Modification
IPRU(INV)13.1.3	Michael Kennedy, Esq.	134516	27/05/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Michael Nathan Associates	150240	26/09/2003	23/02/2004	Modification
IPRU(INV)13.1.3	Michael Robinson Associates	125165	19/09/2003	11/03/2004	Modification
IPRU(INV)13.1.3	Michael Robinson Insurance Brokers	125717	04/09/2003	03/09/2004	Waiver
IPRU(INV)13.1.3	Michael Waite Independent Financial Advice Ltd	154951	07/11/2003	30/10/2004	Modification
IPRU(INV)13.1.3	Midvale Financial Services Limited	207503	08/12/2003	11/11/2004	Modification
IPRU(INV)13.1.3	Miers Limited	146926	21/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Miller Knight	196995	18/11/2003	16/10/2004	Modification
IPRU(INV)13.1.3	Milne Friend & Partners	120848	20/08/2003	09/06/2004	Modification
IPRU(INV)13.1.3	Milsted Langdon Financial Services Limited	126457	24/10/2003	27/04/2004	Modification
IPRU(INV)13.1.3	Mimar Insurance Services Limited	117973	18/08/2003	03/02/2004	Modification
IPRU(INV)13.1.3	Minerva Fund Managers Limited	147603	22/09/2003	25/01/2004	Modification
IPRU(INV)13.1.3	MLP(Mortgage Life & Pensions)	147172	19/02/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Moffatt & Co Financial Services Limited	138971	09/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Money Matters	121390	09/10/2003	06/03/2004	Modification
IPRU(INV)13.1.3	Moneyplan Financial Services Limited	145384	29/08/2003	18/04/2004	Modification
IPRU(INV)13.1.3	Moneyscene Limited	192938	12/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	MoneyScience Investment Consultancy	106043	03/02/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Moneywise Investments Plc	131366	01/08/2003	17/06/2004	Waiver

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IPRU(INV)13.1.3	Montage Portfolio Management Ltd	194768	10/12/2003	29/09/2004	Modification
IPRU(INV)13.1.3	Moran Webb Insurance Consultants	138156	14/10/2003	26/02/2004	Modification
IPRU(INV)13.1.3	Morfit & Turnbull (Management Services) Limited	114775	13/10/2003	23/09/2004	Modification
IPRU(INV)13.1.3	Morgan Finance	144883	25/07/2003	23/07/2004	Modification
IPRU(INV)13.1.3	Morgan Finance	144883	12/10/2004	13/01/2005	Modification
IPRU(INV)13.1.3	Morgan Law (Financial Services) Limited	155399	14/10/2003	30/09/2004	Modification
IPRU(INV)13.1.3	Morgan Money Management Limited	114906	01/09/2003	01/09/2003	Modification
IPRU(INV)13.1.3	Morgans Ltd	159488	26/11/2003	01/11/2004	Modification
IPRU(INV)13.1.3	Mortgages Pensions & Investments Limited	125204	13/08/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Mosley & Company	170306	02/09/2003	21/08/2004	Modification
IPRU(INV)13.1.3	MPA Pension & Investment Advisers	146867	17/11/2003	08/10/2004	Modification
IPRU(INV)13.1.3	MRIB	118893	10/12/2003	30/10/2004	Modification
IPRU(INV)13.1.3	Mrs Charmian Asher	211628	09/09/2003	28/10/2003	Modification
IPRU(INV)13.1.3	Mrs Charmian Asher	211628	07/11/2003	28/10/2004	Modification
IPRU(INV)13.1.3	Murray Round Wealth Management Limited	194133	13/08/2003	12/08/2004	Modification
IPRU(INV)13.1.3	N P Crowe and Associates	183314	02/02/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Nationwide Independent Consultants	131274	22/09/2003	10/08/2004	Waiver
IPRU(INV)13.1.3	Needler Financial Services Limited	115165	21/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Nelsons	153736	15/10/2003	07/09/2004	Modification
IPRU(INV)13.1.3	Nestegg Financial Services	121535	26/08/2003	17/12/2003	Modification
IPRU(INV)13.1.3	Nevett & Taylor Limited	116605	28/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Newcombe & Banks Limited	126383	02/09/2003	28/03/2004	Modification
IPRU(INV)13.1.3	Newell Palmer Limited	114530	29/08/2003	15/01/2004	Modification
IPRU(INV)13.1.3	Newman Wright Financial Advisors	153037	27/08/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Newton & Garner Investments	187732	14/11/2003	29/09/2004	Modification
IPRU(INV)13.1.3	Nichols Financial Services	189931	11/07/2003	10/07/2004	Waiver
IPRU(INV)13.1.3	Nigel Beanland and Company	114550	19/08/2003	04/03/2004	Modification
IPRU(INV)13.1.3	Nigel Bourke & Company	120990	26/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Nigel Bourke & Company	120990	25/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Nolan, Baptist and Bond Independent Financial Advisers	192347	28/08/2003	08/03/2004	Modification

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IPRU(INV)13.1.3	Norwest Consultants	147396	24/09/2003	24/06/2004	Modification
IPRU(INV)13.1.3	Oakland Financial Management Ltd	196671	18/11/2003	17/10/2004	Modification
IPRU(INV)13.1.3	Oakleigh Investments	170843	23/10/2003	04/07/2004	Modification
IPRU(INV)13.1.3	Oakwell Investment Limited	170198	19/11/2003	14/11/2004	Modification
IPRU(INV)13.1.3	Oakwood Financial Management	171150	27/08/2003	25/06/2004	Modification
IPRU(INV)13.1.3	O'Halloran & Co.	125968	02/10/2003	07/05/2004	Modification
IPRU(INV)13.1.3	Omega Independent Financial Services	143102	19/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Optimas Wealth Planners Limited	181582	27/10/2003	13/11/2004	Modification
IPRU(INV)13.1.3	Oracle Financial Services Limited	138262	24/07/2003	23/07/2004	Waiver
IPRU(INV)13.1.3	Oracle Financial Services Limited	138262	08/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	O'Sullivan Associates	207512	10/09/2003	30/11/2003	Modification
IPRU(INV)13.1.3	Oswald Browne Associates Financial Services	131521	11/09/2003	31/12/2003	Modification
IPRU(INV)13.1.3	Oxford Pensions	145078	02/09/2003	06/03/2004	Modification
IPRU(INV)13.1.3	P J Aiken (Insurance Brokers) Limited	148230	14/11/2003	01/02/2004	Modification
IPRU(INV)13.1.3	P J Clifton Financial Services	121738	12/08/2003	25/06/2004	Modification
IPRU(INV)13.1.3	P O'Neill (Independent) Financial Advisor	149886	30/07/2003	29/07/2004	Waiver
IPRU(INV)13.1.3	P W Financial Management Limited	191811	29/08/2003	24/08/2004	Modification
IPRU(INV)13.1.3	P. N. Morris Financial Management	145898	22/10/2003	21/10/2004	Waiver
IPRU(INV)13.1.3	P. Srinivasan, Esq.	131560	03/09/2003	23/04/2004	Modification
IPRU(INV)13.1.3	P.D. Varsani, Esq.	125375	16/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	P.J. Arnold, Esq.	140089	18/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	P.J. Hutchinson & Associates	121225	04/05/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Pace Financial Solutions Limited	121059	29/08/2003	07/03/2004	Modification
IPRU(INV)13.1.3	Pacific (Norwich) Limited	136915	14/10/2003	06/09/2004	Modification
IPRU(INV)13.1.3	Paladin Financial Services Ltd	188645	04/09/2003	02/02/2004	Modification
IPRU(INV)13.1.3	Pantheon Financial Management Limited	183412	13/10/2003	30/09/2004	Modification
IPRU(INV)13.1.3	Paragon Financial Consultants	141811	07/10/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Park Hall Financial Services	121554	19/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Park Hall Financial Services	121554	19/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Parker Munroe	125967	10/11/2003	31/10/2004	Modification

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IPRU(INV)13.1.3	Parkgate Insurance Agency	131569	09/09/2003	29/10/2003	Modification
IPRU(INV)13.1.3	Parkgate Insurance Agency	131569	18/11/2003	29/10/2004	Modification
IPRU(INV)13.1.3	Partridge Financial	211176	12/12/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Partridge Muir & Warren Limited	148029	23/09/2003	04/09/2004	Modification
IPRU(INV)13.1.3	PAS Bureau Limited	209528	06/05/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Paul Butler, Esq.	134786	28/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Paul Hipkiss	125652	09/06/2003	08/06/2004	Waiver
IPRU(INV)13.1.3	Paul Hipkiss	125652	18/08/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Paul Schwer Financial Services	145449	27/10/2003	11/01/2004	Modification
IPRU(INV)13.1.3	Paul Smith Associates	182741	28/04/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Paul Young Independent Financial Advisors	114395	17/09/2003	21/02/2004	Modification
IPRU(INV)13.1.3	Peacock Financial Management	174888	12/08/2003	11/08/2004	Modification
IPRU(INV)13.1.3	Pearce Arrow Limited	118143	17/11/2003	09/10/2004	Modification
IPRU(INV)13.1.3	Pegasus Financial Services Limited	155127	07/11/2003	25/01/2004	Modification
IPRU(INV)13.1.3	Pegasus Financial Services Limited	155127	20/10/2003	25/01/2004	Modification
IPRU(INV)13.1.3	Pendleton May Financial Services Limited	140444	09/09/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Penmor	114943	12/09/2003	17/05/2004	Modification
IPRU(INV)13.1.3	Pension & Investment Management Services	161531	08/09/2003	06/05/2004	Modification
IPRU(INV)13.1.3	Penta Financial Services	153975	19/02/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Perry Appleton Financial Management Limited	193138	20/08/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Personal & Corporate Financial Solutions Limited	218707	09/09/2003	10/10/2003	Modification
IPRU(INV)13.1.3	Personal & Corporate Financial Solutions Limited	218707	18/11/2003	10/10/2004	Modification
IPRU(INV)13.1.3	Personal Financial Advice Limited	134672	29/08/2003	31/01/2004	Modification
IPRU(INV)13.1.3	Personal Money Management	176616	11/09/2003	09/09/2004	Modification
IPRU(INV)13.1.3	Perspective (North East) Limited	150317	22/10/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Peter Allatson Financial Management	139038	18/11/2003	07/12/2004	Modification
IPRU(INV)13.1.3	Peter David Associates	144263	14/04/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Peter Gay & Company	158879	04/12/2003	30/03/2004	Modification
IPRU(INV)13.1.3	Peter Jones and Associates	133851	31/03/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Peter Markham Independent Financial Adviser	125234	23/11/2004	13/01/2005	Waiver

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IPRU(INV)13.1.3	Peter Shirley (Financial Services) Limited	131528	19/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Peter Smith	189462	11/11/2003	10/11/2004	Waiver
IPRU(INV)13.1.3	Peter Took Financial Services Limited	114628	09/01/2004	09/01/2005	Waiver
IPRU(INV)13.1.3	Peter Young Financial Services	146077	28/05/2003	27/05/2004	Waiver
IPRU(INV)13.1.3	Petherwick & Partners	131228	02/09/2003	30/05/2004	Modification
IPRU(INV)13.1.3	Petrie & Petrie	177617	31/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	PHFS	131770	13/11/2003	11/06/2004	Modification
IPRU(INV)13.1.3	Philip Evans & Associates	138916	10/06/2003	09/06/2004	Waiver
IPRU(INV)13.1.3	Philip Evans & Associates	138916	20/07/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Philip J Milton & Company Plc	181768	24/11/2003	14/01/2004	Modification
IPRU(INV)13.1.3	Philip M. Derbyshire & Company Limited	121698	29/08/2003	04/02/2004	Modification
IPRU(INV)13.1.3	Philip Silvester Financial Services Limited	142615	29/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Phoenix Insurance Services Limited	187987	24/09/2003	30/11/2003	Modification
IPRU(INV)13.1.3	Phoenix Insurance Services Limited	187987	24/09/2003	30/11/2004	Modification
IPRU(INV)13.1.3	Phoenix Wealth Management Ltd.	190353	20/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	PIB Limited	116448	11/09/2003	19/04/2004	Modification
IPRU(INV)13.1.3	Planitplus Ltd	148869	29/08/2003	11/08/2004	Modification
IPRU(INV)13.1.3	Platt Rushton Financial Management Limited	194711	19/08/2003	18/08/2004	Modification
IPRU(INV)13.1.3	PMN Financial Management	153858	05/11/2003	23/10/2004	Modification
IPRU(INV)13.1.3	Policy Enquiries Ltd	136627	06/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Poole & Callaghan	146584	10/09/2003	10/02/2004	Modification
IPRU(INV)13.1.3	Portfolio Asset Management Limited	141828	05/02/2004	15/01/2005	Waiver
IPRU(INV)13.1.3	Portland Financial Management Limited	114370	26/11/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Power Robbins	125949	02/09/2003	24/04/2004	Modification
IPRU(INV)13.1.3	Powney Lisle Financial Services	121735	15/10/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Powney Lisle Financial Services	121735	22/09/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Premier Independent Advisers Ltd	186265	15/10/2003	12/09/2004	Modification
IPRU(INV)13.1.3	Premier Wealth Solutions Limited	121050	01/09/2003	18/06/2004	Modification
IPRU(INV)13.1.3	Primedale Financial Services Limited	116248	03/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	PrisWM Limited	131446	11/09/2003	07/12/2003	Modification

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IPRU(INV)13.1.3	Private Wealth Management Limited	207530	20/08/2003	18/08/2004	Modification
IPRU(INV)13.1.3	Professional Financial	152872	03/09/2003	24/06/2004	Modification
IPRU(INV)13.1.3	Professional Financial Planning	186208	15/09/2003	31/08/2004	Modification
IPRU(INV)13.1.3	Professional Financial Services	145073	24/11/2003	04/04/2004	Modification
IPRU(INV)13.1.3	Professional Independent Advisers	144892	04/09/2003	31/01/2004	Modification
IPRU(INV)13.1.3	Professional Partners Limited	197494	09/10/2003	06/03/2004	Modification
IPRU(INV)13.1.3	Professional Practice Services	218105	26/08/2003	05/04/2004	Modification
IPRU(INV)13.1.3	Proheath Limited	125790	29/08/2003	29/08/2004	Modification
IPRU(INV)13.1.3	Provest Financial Management	190077	23/10/2003	30/09/2004	Modification
IPRU(INV)13.1.3	Prudell Limited	134411	12/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	PS Employee Benefits Ltd	190545	28/08/2003	30/04/2004	Modification
IPRU(INV)13.1.3	PSD Robinson Gear (Investment Planning) Ltd	161491	20/08/2003	25/06/2004	Modification
IPRU(INV)13.1.3	PWJ Financial Management	189770	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	QS Financial Planning Solutions Limited	155158	05/09/2003	26/11/2003	Modification
IPRU(INV)13.1.3	Quadrant Caldwell Drake Limited	126027	19/08/2003	18/08/2004	Modification
IPRU(INV)13.1.3	Quadrant Partnership Limited	170726	05/09/2003	25/06/2004	Modification
IPRU(INV)13.1.3	Quest Financial Services	137343	12/01/2004	14/01/2005	Modification
IPRU(INV)13.1.3	R G Harvie Financial Services	135447	24/11/2003	24/06/2004	Modification
IPRU(INV)13.1.3	R W Harris Limited	143856	25/06/2003	25/06/2004	Waiver
IPRU(INV)13.1.3	R. & S. Associates	137167	24/10/2003	22/08/2004	Modification
IPRU(INV)13.1.3	R. Monckton-Milnes and Partners	131222	06/11/2003	25/06/2004	Modification
IPRU(INV)13.1.3	R.A. Cowen & Partners (Financial Services) Limited	126112	07/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	R.J. Litten & Partners	125075	24/10/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Rafter Associates	114575	29/08/2003	24/09/2003	Modification
IPRU(INV)13.1.3	Rafter Associates	114575	30/10/2003	28/10/2004	Modification
IPRU(INV)13.1.3	Rafter Associates Financial Management Limited	116031	28/08/2003	24/09/2004	Modification
IPRU(INV)13.1.3	Rafter Associates Financial Management Limited	116031	07/11/2003	28/10/2004	Modification
IPRU(INV)13.1.3	Rawson Steele	212010	01/09/2003	31/07/2004	Modification
IPRU(INV)13.1.3	Rawsthorn Lee & Company	125410	12/09/2003	30/09/2004	Modification
IPRU(INV)13.1.3	Read McLaren Limited	116238	03/09/2003	05/05/2004	Modification

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IPRU(INV)13.1.3	Reeves Brady Financial Planning Consultancy	163167	18/11/2003	03/08/2004	Modification
IPRU(INV)13.1.3	Reid Scott & Ross Limited	185094	08/12/2003	24/02/2004	Modification
IPRU(INV)13.1.3	Remnart Agencies Limited	179388	24/08/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Retirement Planning Associates	154116	30/10/2003	17/09/2004	Modification
IPRU(INV)13.1.3	Richard Ashton Financial Services	126668	06/10/2003	16/09/2004	Modification
IPRU(INV)13.1.3	Richard F. Bowsher and Company	154035	05/05/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Richard Field Investment Limited	145558	19/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Richard Jacobs Pension and Trustee Services Limited	153640	19/11/2003	30/09/2004	Modification
IPRU(INV)13.1.3	Richard S. Barratt	114841	01/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Richard S. Barratt	114841	05/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Rickard Lazenby Financial Services Ltd	150485	29/08/2003	19/12/2003	Modification
IPRU(INV)13.1.3	Ridgewood Financial Services	193114	10/11/2003	01/10/2004	Modification
IPRU(INV)13.1.3	Ritchie Salkeld & Company	162632	25/09/2003	31/01/2004	Modification
IPRU(INV)13.1.3	Ritchie Young (Insurance Services)	136947	20/02/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Riverside Financial Services Limited	116210	01/10/2003	18/03/2004	Modification
IPRU(INV)13.1.3	RMB Financial Services	198004	22/05/2003	21/05/2004	Waiver
IPRU(INV)13.1.3	RMB Financial Services	198004	21/05/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	RNR Independent Financial Advisors Limited	199032	20/10/2003	25/03/2004	Modification
IPRU(INV)13.1.3	Robbi Mays Financial Services	131561	06/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Robert Morrow Financial Services	196806	30/09/2003	19/09/2004	Modification
IPRU(INV)13.1.3	Robert Stewart & Company	137892	18/02/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Robinson Insurance Services Limited	134398	12/08/2003	31/01/2004	Modification
IPRU(INV)13.1.3	Rocheberie Consulting Limited	171124	18/08/2003	19/04/2004	Modification
IPRU(INV)13.1.3	Rochford Premier Ltd	188927	11/09/2003	10/09/2004	Waiver
IPRU(INV)13.1.3	Rock Financial Services	137227	19/01/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Roger Hearn Ltd	140883	08/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Roger Martin and Company	150187	12/09/2003	08/01/2004	Modification
IPRU(INV)13.1.3	Rolton Associates	137070	01/09/2003	22/11/2003	Modification
IPRU(INV)13.1.3	Rosebank Financial Services	163157	03/09/2003	11/08/2004	Modification
IPRU(INV)13.1.3	Rowlands & Hames Insurance Brokers Limited	148191	12/11/2003	31/10/2004	Modification

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IPRU(INV)13.1.3	Roy E Sansom & Co Ltd	145232	02/09/2003	01/07/2004	Modification
IPRU(INV)13.1.3	Roy Spencer Independent Financial Adviser	139054	12/08/2003	11/08/2004	Modification
IPRU(INV)13.1.3	Royaloak Financial Services Limited	190798	23/09/2003	12/12/2003	Waiver
IPRU(INV)13.1.3	Russell Plaice & Partners	118193	15/10/2003	07/07/2004	Modification
IPRU(INV)13.1.3	Rutland Investment Managers	165679	17/11/2003	14/11/2004	Modification
IPRU(INV)13.1.3	RVW WealthCare Ltd	146438	18/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Salisbury Financial Services Limited	116461	07/11/2003	17/10/2004	Modification
IPRU(INV)13.1.3	Save & Invest (Financial Planning) Limited	144940	02/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Saxon Financial Advice Limited	210326	09/10/2003	26/06/2004	Modification
IPRU(INV)13.1.3	Scott House Financial Planning Limited	138862	02/09/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Scotzone Insurance Consultants Limited	118361	20/11/2003	30/11/2004	Modification
IPRU(INV)13.1.3	SDB Strategic Planners Limited	116337	07/11/2003	17/10/2004	Modification
IPRU(INV)13.1.3	Searchlight Investments Limited	137996	22/08/2003	29/02/2004	Modification
IPRU(INV)13.1.3	Sercal Securities	131504	24/11/2003	01/11/2004	Modification
IPRU(INV)13.1.3	SFIA Ltd	195657	09/09/2003	31/01/2004	Modification
IPRU(INV)13.1.3	Charles Financial Management Limited	121359	13/08/2003	30/06/2004	Modification
IPRU(INV)13.1.3	Sharman & Co	183447	12/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Sheraton Life & Pensions	118088	08/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Shirebrook Financial Services Limited	195018	04/09/2003	15/02/2004	Modification
IPRU(INV)13.1.3	Shorter & Company	115073	03/09/2003	10/04/2004	Modification
IPRU(INV)13.1.3	Simon G.L. Law Financial Services	146934	23/09/2003	18/11/2003	Modification
IPRU(INV)13.1.3	Sinclair Hannah Financial Management	165990	05/12/2003	17/11/2004	Modification
IPRU(INV)13.1.3	Sinclair Wood Asset Management Limited	197001	20/11/2003	05/11/2004	Modification
IPRU(INV)13.1.3	Slade Edwards & Co (Insurance Brokers) Limited	120821	29/08/2003	04/08/2004	Modification
IPRU(INV)13.1.3	SMG F S Limited	118158	08/12/2003	14/12/2004	Modification
IPRU(INV)13.1.3	Smith & Williamson Financial Services Limited	180563	04/09/2003	25/04/2004	Modification
IPRU(INV)13.1.3	SNR Brunt	181047	14/01/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Soffair & Co (UK) Ltd	125863	30/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Solomon's	190062	27/10/2003	26/09/2004	Modification
IPRU(INV)13.1.3	Somerville Financial Services Limited	145264	19/09/2003	22/11/2003	Modification

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IPRU(INV)13.1.3	Sorensen Financial Services	184289	03/12/2003	06/05/2004	Modification
IPRU(INV)13.1.3	South Herts Financial Services	146920	11/09/2003	21/11/2004	Modification
IPRU(INV)13.1.3	Southern Financial Services Ltd	174623	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	Sovereign (Financial Services) Group	154799	18/09/2003	18/07/2004	Modification
IPRU(INV)13.1.3	Sovereign Employee Benefits Limited	116223	08/12/2003	08/12/2004	Waiver
IPRU(INV)13.1.3	Sovereign UK Financial Services Limited	141429	12/09/2003	07/03/2004	Modification
IPRU(INV)13.1.3	SP Financial Management Limited	171137	24/11/2003	01/11/2004	Modification
IPRU(INV)13.1.3	Specialists Asset Management	137528	14/04/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Spedding Goldthorpe (Brokers) Limited	116667	04/09/2003	30/11/2003	Modification
IPRU(INV)13.1.3	Sportspro Asset Management Limited	195274	21/04/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	SRFM Limited	138008	07/01/2004	31/10/2004	Modification
IPRU(INV)13.1.3	Stan Gaskin Limited	190666	08/09/2003	23/06/2004	Modification
IPRU(INV)13.1.3	S-Tech Insurance Services Limited	118690	18/11/2003	01/04/2004	Modification
IPRU(INV)13.1.3	Stedman & Company	126395	01/09/2003	31/08/2004	Modification
IPRU(INV)13.1.3	Stephenson Sheppard Asset Planning	146079	11/12/2003	31/12/2004	Modification
IPRU(INV)13.1.3	Sterling Financial Services	131403	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	Sterling Investment Services	191038	29/08/2003	09/02/2004	Modification
IPRU(INV)13.1.3	Sterling Pension Management Limited	114862	14/10/2003	15/09/2004	Modification
IPRU(INV)13.1.3	Steven John Taylor	207659	29/08/2003	18/06/2004	Modification
IPRU(INV)13.1.3	Steveni Kessler (Insurance Services) Ltd	134712	26/08/2003	12/03/2004	Modification
IPRU(INV)13.1.3	Stewart Hastie & Co	176884	10/11/2003	07/01/2004	Modification
IPRU(INV)13.1.3	Stewart Lyon Financial Services	137872	01/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Stirling Associates (Cheltenham) Limited	186674	05/09/2003	23/04/2004	Modification
IPRU(INV)13.1.3	Strand (Life & Pensions) Limited	126563	26/08/2003	18/02/2004	Modification
IPRU(INV)13.1.3	Strathayr Associates	114799	09/07/2003	08/07/2004	Waiver
IPRU(INV)13.1.3	Strathayr Associates	114799	20/12/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Stuart Albutt Financial Services	146856	25/09/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Sturdy Edwards (Financial Services) Limited	190659	02/10/2003	15/05/2004	Modification
IPRU(INV)13.1.3	Sutton & Partners (Life & Pensions) Limited	121125	28/11/2003	31/03/2004	Modification
IPRU(INV)13.1.3	Sutton Mearns Financial Services Limited	140055	11/11/2003	19/10/2004	Modification

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IPRU(INV)13.1.3	T B Patterson Associates	154750	24/10/2003	31/03/2004	Modification
IPRU(INV)13.1.3	T G Webster (Insurance Services) Limited	118497	02/12/2003	01/01/2004	Modification
IPRU(INV)13.1.3	Talbot and Muir Limited	165200	12/09/2003	10/03/2004	Modification
IPRU(INV)13.1.3	Talbot and Muir Limited	165200	05/04/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Talisman Financial Services Limited	150662	18/08/2003	20/05/2004	Modification
IPRU(INV)13.1.3	Taylor Financial Planning	186088	03/09/2003	22/02/2004	Modification
IPRU(INV)13.1.3	Taylor Insurance Brokers	148240	12/08/2003	03/04/2004	Modification
IPRU(INV)13.1.3	Taylor Withers & Company	142521	28/08/2003	19/12/2003	Modification
IPRU(INV)13.1.3	Templar Financial Planning Ltd	178554	10/12/2003	16/09/2004	Modification
IPRU(INV)13.1.3	Tenaville Limited	144202	28/10/2003	31/10/2004	Modification
IPRU(INV)13.1.3	The Alexander Beard Group Plc	136720	12/09/2003	11/11/2003	Modification
IPRU(INV)13.1.3	The Cameron Consultancy	151911	26/11/2003	13/08/2004	Modification
IPRU(INV)13.1.3	The Carruth Financial Group Limited	134778	09/09/2003	30/03/2004	Modification
IPRU(INV)13.1.3	The Citimark Partnership Limited	115180	08/09/2003	23/01/2004	Modification
IPRU(INV)13.1.3	The Corporate Planning Partnership	147224	07/10/2003	31/03/2004	Modification
IPRU(INV)13.1.3	The Donnellsons Partnership	154431	06/11/2003	05/11/2004	Waiver
IPRU(INV)13.1.3	The Falcon Group Limited	114661	08/01/2003	08/01/2004	Waiver
IPRU(INV)13.1.3	The Falcon Group Limited	114661	28/04/2004	14/01/2005	Modification
IPRU(INV)13.1.3	The Finance House (Sutton Coldfield)	141650	24/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	The Financial Planning Group	148493	30/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	The Financial Planning Partnership	121133	18/08/2003	03/02/2004	Modification
IPRU(INV)13.1.3	The Foxwood Consultancy	207515	14/08/2003	20/03/2004	Modification
IPRU(INV)13.1.3	The GMD Partnership	149979	24/09/2003	15/01/2004	Modification
IPRU(INV)13.1.3	The Goodman Partnership	126057	03/09/2003	14/04/2004	Modification
IPRU(INV)13.1.3	The Graham Tanner Organisation	138283	28/08/2003	30/04/2004	Modification
IPRU(INV)13.1.3	The Henley Life & Pensions Consultancy	143190	10/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	The Independent Asset Management Company	209525	02/09/2003	31/05/2004	Modification
IPRU(INV)13.1.3	The Oakdene Practice	153859	03/09/2003	05/07/2004	Modification
IPRU(INV)13.1.3	The Onion Group	187935	11/07/2003	03/07/2004	Waiver
IPRU(INV)13.1.3	The On-Line Partnership Limited	192638	18/08/2003	13/08/2004	Modification

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IPRU(INV)13.1.3	The R. A. Roberts Partnership Ltd	186291	01/12/2003	16/10/2004	Modification
IPRU(INV)13.1.3	The St James Partnership	208917	12/12/2003	19/11/2004	Modification
IPRU(INV)13.1.3	Thinc Group Limited	154939	12/12/2003	02/11/2004	Modification
IPRU(INV)13.1.3	Thomas & Co Insurance Brokers	147052	29/08/2003	29/09/2003	Modification
IPRU(INV)13.1.3	Thomas & Co Insurance Brokers	147052	20/10/2003	29/09/2004	Modification
IPRU(INV)13.1.3	Thomas Gibson (Life & Pensions Consultants) Limited	149470	05/11/2003	13/10/2004	Modification
IPRU(INV)13.1.3	Thompson & Richardson (Financial Services) Lincoln Limited	136254	28/09/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Thornton Lambert Limited	114414	19/02/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Thurlowe-Clarke Limited	125772	25/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	TMS Financial Solutions Limited	116346	02/09/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Tobermory Fern Place Limited	115175	05/11/2003	22/03/2004	Modification
IPRU(INV)13.1.3	Tobermory Fern Place Limited	115175	06/11/2003	22/03/2004	Modification
IPRU(INV)13.1.3	Todd and Cue Financial Services Limited	137918	28/08/2003	29/02/2004	Modification
IPRU(INV)13.1.3	Tolson Messenger Financial Services Limited	121401	26/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	Tong Park Investments	153162	24/11/2003	02/06/2004	Modification
IPRU(INV)13.1.3	Tony Rasdale Financial Services	121459	05/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Torringside Insurance Consultants	137023	24/10/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Towergate Financial (East) Limited	217670	06/11/2003	08/10/2004	Modification
IPRU(INV)13.1.3	Towergate Financial (Scotland) Limited	210225	04/09/2003	14/05/2004	Modification
IPRU(INV)13.1.3	TPEC Limited	149540	29/08/2003	31/05/2004	Modification
IPRU(INV)13.1.3	Trevor Slattery & Company	137169	10/09/2003	21/04/2004	Modification
IPRU(INV)13.1.3	Trinity Financial Planning Limited	216796	20/11/2003	07/11/2004	Modification
IPRU(INV)13.1.3	Trustee Asset Management Limited	116167	09/12/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Ulverston Financial Services Limited	121616	17/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Unizone Limited	217699	03/10/2003	19/09/2004	Modification
IPRU(INV)13.1.3	Victoria Financial Management	126633	29/08/2003	31/10/2003	Modification
IPRU(INV)13.1.3	W Cartwright (Financial Services) Limited	118592	10/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3	W W H Ewens Insurances Adviser	165781	21/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	W. Denis Financial Services Limited	120918	12/08/2003	11/08/2004	Modification
IPRU(INV)13.1.3	W.B. Tidey (Financial Services) Limited	155163	15/09/2003	25/06/2004	Modification

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IPRU(INV)13.1.3	W.C. Hall Limited	131225	06/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	W.F.J. Fairman Financial Services	134563	15/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	W.N. Gordon and Partners	114843	15/10/2003	23/04/2004	Modification
IPRU(INV)13.1.3	Walker Crips Wealth Management Limited	114778	05/11/2003	30/09/2004	Modification
IPRU(INV)13.1.3	Walls Independent Financial Advisers	143612	24/06/2004	14/01/2005	Waiver
IPRU(INV)13.1.3	Warby Wealth Management	126671	29/08/2003	04/02/2004	Modification
IPRU(INV)13.1.3	Ward Consultancy Limited	136482	01/10/2003	10/02/2004	Modification
IPRU(INV)13.1.3	Warner Matthews Limited	143818	09/10/2003	05/11/2004	Waiver
IPRU(INV)13.1.3	Warren Associates	125597	15/08/2003	21/04/2004	Modification
IPRU(INV)13.1.3	Warwick-Leigh Financial Advisers Limited	147530	20/08/2003	17/03/2004	Modification
IPRU(INV)13.1.3	Waterford Investments	138276	07/10/2003	08/04/2004	Modification
IPRU(INV)13.1.3	WDFS Limited	147518	29/09/2003	05/03/2004	Modification
IPRU(INV)13.1.3	Webb Holton & Associates Limited	125587	22/10/2003	26/04/2004	Modification
IPRU(INV)13.1.3	Wentworth (Financial Consultants) Limited	120987	05/09/2003	27/10/2003	Modification
IPRU(INV)13.1.3	Westbourne Insurance Services Limited	116434	14/08/2003	31/12/2004	Modification
IPRU(INV)13.1.3	Westbourne Insurance Services Limited	116434	17/11/2003	31/12/2004	Modification
IPRU(INV)13.1.3	Westlake Investment and Financial Planning Services Limited	116057	05/09/2003	28/02/2004	Modification
IPRU(INV)13.1.3	Weston Associates IFA Limited	207494	12/09/2003	31/05/2004	Modification
IPRU(INV)13.1.3	WFS Consulting Limited	191531	07/11/2003	31/03/2004	Modification
IPRU(INV)13.1.3	White Ox Insurance Services Ltd	194132	05/09/2003	29/11/2003	Modification
IPRU(INV)13.1.3	Whitehall Financial Independent Limited	185288	18/11/2003	04/02/2004	Modification
IPRU(INV)13.1.3	Widelist Investments Limited	145829	12/08/2003	11/08/2004	Modification
IPRU(INV)13.1.3	Wigan Mortgage and Investment Centre	148504	22/10/2003	22/10/2004	Waiver
IPRU(INV)13.1.3	Wilberforce & Co	142494	08/12/2003	05/08/2004	Modification
IPRU(INV)13.1.3	Williams Farrall Woodward	175614	13/11/2003	13/10/2004	Modification
IPRU(INV)13.1.3	Wilman & Lodge (Financial Services) Limited	136905	10/09/2003	27/05/2004	Modification
IPRU(INV)13.1.3	Wiltshire & Co Limited	142815	18/11/2003	26/10/2004	Modification
IPRU(INV)13.1.3	Wine Lewis Hemingway Ltd	210527	23/10/2003	08/02/2004	Modification
IPRU(INV)13.1.3	Wise Investment	155162	02/09/2004	14/01/2005	Modification
IPRU(INV)13.1.3	Wise Owl Retirement Services	125336	03/09/2003	13/01/2004	Modification

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IPRU(INV)13.1.3	Woodlands Financial Services	125861	15/09/2003	20/03/2004	Modification
IPRU(INV)13.1.3	Woodside Financial Planning	146809	22/08/2003	14/03/2004	Modification
IPRU(INV)13.1.3	Worthington Bates Insurance Consultants	118240	07/01/2004	31/10/2004	Modification
IPRU(INV)13.1.3	Wykeham Independent Consultants Limited	170716	27/11/2003	31/10/2004	Modification
IPRU(INV)13.1.3	Wynford Davies & Company	121090	01/09/2003	31/08/2004	Modification
IPRU(INV)13.1.3	Yash Financial Services	184308	27/01/2004	15/01/2005	Waiver
IPRU(INV)13.1.3	Yoredale Insurance Services	120913	27/08/2003	25/06/2004	Modification
IPRU(INV)13.1.3	York F M Limited	194460	01/09/2003	30/04/2004	Modification
IPRU(INV)13.1.3	Yorkshire Premier Financial Services Limited	117951	18/08/2003	17/08/2004	Modification
IPRU(INV)13.1.3	Young Ridgway & Associates Limited	136376	08/09/2003	31/10/2003	Modification
IPRU(INV)13.1.3 (3)	Chapterhouse Independent Financial Advisers	143134	22/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.3 (3)	Jenkins Financial Services	153553	06/10/2004	14/01/2005	Waiver
IPRU(INV)13.1.3 (3)	Malcolm Miles Financial Services	155382	18/11/2004	14/01/2005	Waiver
IPRU(INV)13.1.4	Financial Limited	188153	26/05/2004	14/01/2005	Waiver
IPRU(INV)13.1.4	Focused Financial Services	197271	12/07/2004	14/01/2005	Waiver
IPRU(INV)13.1.4	Malcolm Miles Financial Services	155382	18/11/2004	14/01/2005	Waiver
IPRU(INV)13.1.4	Stephen Ward & Co	149366	13/08/2004	14/01/2005	Waiver
IPRU(INV)13.1.4	Tony Robertson Insurance	118369	03/08/2004	14/01/2005	Waiver
IPRU(INV)13.1.4 (1)	Orion Financial Management	185450	29/06/2004	14/01/2005	Waiver
IPRU(INV)13.1.4 (1)	T.R.S. Independent Financial Advisers	140448	09/09/2004	14/01/2005	Waiver
IPRU(INV)13.1.4 (1)	Thome Asset Management & Asset Controlling	416226	01/07/2005	30/06/2006	Modification
IPRU(INV)13.1.5	Abacus Insurance Consultants	118204	14/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Alexander Forbes Financial Services Affinity Limited	195032	26/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Alpha Financial Management Limited	214376	14/11/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Amar Financial Services	150115	09/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Anderson Lloyd LLP	207597	04/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Andrew Davidson Financial Management Services	117969	26/11/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Atkins Bland Limited	184046	03/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Augustine Limited	118061	02/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Ault Independent Financial Advisers Limited	114631	26/11/2002	30/06/2003	Modification

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IPRU(INV)13.1.5	Brookridge Services Associates	131247	13/11/2002	30/06/2003	Modification
IPRU(INV)13.1.5	C.A. Independent Financial Services Limited	134783	26/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	C.J. Greenbank & Company	153392	22/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Caversham Buchanan Limited	180306	26/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Chapel House Financial Services	185599	21/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Charterhouse Financial Negotiations	185139	28/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Cranwell Insurance and Investment Services Limited	135066	08/05/2003	30/06/2003	Modification
IPRU(INV)13.1.5	D.M. Clark (Insurance)	125517	31/07/2003	30/07/2004	Waiver
IPRU(INV)13.1.5	Derek Connor Independent Financial Adviser	197491	15/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Dilbagh Singh Parmar, Esq.	136309	09/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Dixon Grey	185470	03/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Findlay & Company Financial Services Limited	188198	22/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Fraser-Hann Financial Services Limited	134865	22/11/2002	30/06/2003	Modification
IPRU(INV)13.1.5	GBFS Limited	185479	09/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Glamis Limited	125405	18/06/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Goldstar Insurance Services Limited	149766	09/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Hamilton Leonard Insurance Brokers Limited	116755	12/11/2002	30/06/2003	Modification
IPRU(INV)13.1.5	HGR Insurance Brokers Limited	141394	03/03/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Independent Financial Management Limited	198055	26/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Independent Financial Solutions Group Ltd	190214	22/11/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Independent Investment Associates Limited	212923	09/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Investment Advice Bureau	126798	15/05/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Investment Discounts On Line Limited	197451	02/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	James Phillips and Company	146982	22/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Jarrold Ridgway Life & Pensions	131267	21/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Johnston Financial Services Limited	131706	09/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	K.C. & Associates	116498	22/05/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Lawrence Flanagan and Company	126716	09/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Leagold Limited	121398	09/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Leeburn Financial Planning	153469	04/04/2003	30/06/2003	Modification

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IPRU(INV)13.1.5	Legal & Financial Needs Limited	191332	07/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Lighthouse IFA (Northamptonshire) Limited	198056	13/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	M.W. European Financial Services	149049	26/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	MacLeod Independent Financial Advisers	188479	06/03/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Martyn Voss Financial Planning	149842	06/03/2003	30/06/2003	Modification
IPRU(INV)13.1.5	McAra Associates Limited	125408	13/05/2003	30/06/2003	Modification
IPRU(INV)13.1.5	McCarthy Taylor Limited	184658	04/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	MM Financial Management Limited	153041	24/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Moneygrowth Financial Services	192848	06/03/2003	30/06/2003	Modification
IPRU(INV)13.1.5	NW Brown Financial Services Ltd	207465	10/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	P.F.A. Financial Management Limited	144097	28/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	P.J. Arnold, Esq.	140089	02/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Palace Financial Services	140386	23/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Parallel Investment Management Ltd	172801	02/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Peter McEvoy Financial Services Limited	136299	22/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Private Financial Planning Services Ltd	220822	04/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	PSFM Limited	137684	04/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Quay Associates Limited	156484	20/03/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Rixon Matthews Appleyard (Financial Services) Limited	149231	04/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Rosemount Independent Financial Advisers	145066	09/12/2002	30/06/2003	Modification
IPRU(INV)13.1.5	Stonehage Fleming Financial Services Limited	150118	02/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Sydney Lynn and Company	125349	22/01/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Teal Financial Services	117924	13/11/2002	30/06/2003	Modification
IPRU(INV)13.1.5	The Broughton Wilkins Partnership Ltd	195273	04/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	The Eason Lemond Partnership	114604	04/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	The GMD Partnership	149979	04/04/2003	30/06/2003	Modification
IPRU(INV)13.1.5	The Munro Partnership Ltd	125577	05/03/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Tisdale Life Consultants Limited	126637	20/02/2003	30/06/2003	Modification
IPRU(INV)13.1.5	Tor Financial Services	137668	21/01/2003	30/06/2003	Modification
IPRU(INV)13.1.13	Accord Consultancy Limited	207522	02/09/2003	08/11/2004	Modification

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IPRU(INV)13.1.13	WPA Northern Limited	144231	21/08/2003	18/04/2004	Modification
IPRU(INV)13.1.25	Personal Touch Financial Services Ltd	187834	11/12/2012	20/05/2014	Modification
IPRU(INV)13.1.25	Personal Touch Financial Services Ltd	187834	26/06/2014	26/06/2017	Modification
IPRU(INV)13.1.25	Personal Touch Financial Services Ltd	187834	26/06/2017	26/06/2020	Modification
IPRU(INV)13.1.27	Personal Touch Financial Services Ltd	187834	11/12/2012	20/05/2014	Modification
IPRU(INV)13.1.27	Personal Touch Financial Services Ltd	187834	26/06/2014	26/06/2017	Modification
IPRU(INV)13.5	JLT Consultants & Actuaries Limited	120975	15/01/2003	15/01/2004	Modification
IPRU(INV)13.5.2	Chase de Vere Financial Solutions Plc	114399	22/05/2003	21/05/2004	Modification
IPRU(INV)13.5.2	Chase de Vere Financial Solutions Plc	114399	25/10/2004	25/10/2005	Modification
IPRU(INV)13.5.2	Chase de Vere Independent Financial Advisers limited	137914	02/07/2009	01/07/2010	Modification
IPRU(INV)13.5.2	Greyfriars Asset Management LLP	229285	16/03/2006	31/12/2007	Modification
IPRU(INV)13.5.2	Jarvis Investment Management Limited	116413	12/08/2004	30/06/2005	Modification
IPRU(INV)13.5.2	Sky Capital UK Limited	165851	23/08/2004	23/08/2005	Modification
IPRU(INV)13.5.2 (1)	Whitechurch Securities Limited	114318	13/06/2006	31/12/2007	Modification
IPRU(INV)13.5.4	The Falcon Group Limited	114661	12/09/2006	12/09/2009	Modification
IPRU(INV)13.10.1	Hoyland Financial Management	121576	14/04/2004	14/01/2005	Modification
IPRU(INV)13.11.2	HFMC Wealth Management Ltd	146717	16/03/2004	14/01/2005	Waiver
IPRU(INV)13.11.2	Hoyland Financial Management	121576	14/04/2004	14/01/2005	Modification
IPRU(INV)13.11.2	Openwork Limited	408285	31/12/2015	30/06/2016	Modification
IPRU(INV)13.11.2	Openwork Limited	408285	01/01/2012	31/12/2013	Modification
IPRU(INV)13.11.2	Openwork Limited	408285	31/12/2013	31/12/2015	Modification
IPRU(INV)13.11.2	Openwork Limited	408285	08/01/2010	31/12/2011	Modification
IPRU(INV)13.11.2 (1)	Gallagher Benefits Consulting Limited	115300	30/04/2004	30/04/2007	Modification
IPRU(INV)13.11.2 (2)	Openwork Limited	408285	09/01/2007	08/01/2010	Modification
IPRU(INV)13.11.3	HFMC Wealth Management Ltd	146717	16/03/2004	14/01/2005	Waiver
IPRU(INV)13.11.3	Hoyland Financial Management	121576	14/04/2004	14/01/2005	Modification
IPRU(INV)13.12.2	Burns-Anderson Limited	126191	08/05/2002	30/04/2003	Waiver
IPRU(INV)13.12.2	Financial Services Advice and Support Limited	197419	02/05/2007	31/12/2007	Modification
IPRU(INV)13.12.2	HW Financial Services Limited	134190	15/02/2007	31/12/2007	Modification
IPRU(INV)13.12.2	HW Financial Services Limited	134190	13/06/2007	31/12/2008	Modification

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IPRU(INV)13.12.2	HW Financial Services Limited	134190	07/01/2009	31/12/2009	Modification
IPRU(INV)13.12.2	Prudential Distribution Limited	194709	01/03/2011	31/12/2011	Modification
IPRU(INV)13.12.2	Tilney Financial Planning Limited	136414	16/05/2005	31/12/2005	Modification
IPRU(INV)13.12.2	VIRTUAL NET (EUROPE) LIMITED	209569	24/10/2007	31/07/2008	Modification
IPRU(INV)13.12.3	Foster Denovo Limited	462728	23/12/2008	01/11/2010	Modification
IPRU(INV)13.12.3	Lighthouse Advisory Services Limited	195199	15/07/2004	15/07/2007	Modification
IPRU(INV)13.12.3	Openwork Limited	408285	31/12/2013	31/12/2015	Modification
IPRU(INV)13.12.3	Personal Touch Financial Services Ltd	187834	04/11/2011	31/12/2013	Modification
IPRU(INV)13.12.3	Personal Touch Financial Services Ltd	187834	31/12/2013	30/06/2016	Modification
IPRU(INV)13.12.3	Sage Financial Services Limited	150452	26/08/2008	25/08/2011	Modification
IPRU(INV)13.12.3	Sesame Limited	150427	29/11/2007	28/11/2009	Modification
IPRU(INV)13.12.3	Sesame Limited	150427	25/07/2011	31/12/2013	Modification
IPRU(INV)13.12.3	St. James's Place Wealth Management Plc	195351	20/12/2011	31/12/2013	Modification
IPRU(INV)13.12.3	St. James's Place Wealth Management Plc	195351	01/01/2014	31/12/2015	Modification
IPRU(INV)13.12.3	TenetConnect Limited	149826	01/07/2004	30/06/2005	Modification
IPRU(INV)13.12.3	TenetConnect Services Limited	150643	01/07/2004	30/06/2005	Waiver
IPRU(INV)13.12.3 (2)	Bates Investment Services Ltd	154229	18/03/2008	18/03/2010	Modification
IPRU(INV)13.12.3 (2)	Berkeley Independent Advisers Limited	147353	14/02/2006	13/08/2006	Modification
IPRU(INV)13.12.3 (2)	Burns-Anderson Limited	126191	18/07/2003	18/07/2004	Modification
IPRU(INV)13.12.3 (2)	Burns-Anderson Limited	126191	30/03/2004	30/03/2007	Modification
IPRU(INV)13.12.3 (2)	Burns-Anderson Limited	126191	30/03/2007	30/03/2010	Modification
IPRU(INV)13.12.3 (2)	Burns-Anderson Limited	126191	31/03/2010	31/12/2011	Modification
IPRU(INV)13.12.3 (2)	Burns-Anderson Limited	126191	01/01/2012	31/12/2013	Modification
IPRU(INV)13.12.3 (2)	Caerus Financial Limited	497604	14/12/2012	31/12/2013	Modification
IPRU(INV)13.12.3 (2)	Financial Services Advice and Support Limited	197419	18/07/2006	17/07/2009	Modification
IPRU(INV)13.12.3 (2)	Foster Denovo Limited	462728	31/12/2015	30/12/2017	Modification
IPRU(INV)13.12.3 (2)	Foster Denovo Limited	462728	07/09/2011	31/12/2013	Modification
IPRU(INV)13.12.3 (2)	Foster Denovo Limited	462728	01/11/2010	31/12/2011	Modification
IPRU(INV)13.12.3 (2)	Foster Denovo Limited	462728	10/01/2014	31/12/2015	Waiver
IPRU(INV)13.12.3 (2)	Gallagher Benefits Consulting Limited	115300	30/04/2004	30/04/2007	Modification

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IPRU(INV)13.12.3 (2)	JLT Consultants & Actuaries Limited	120975	22/12/2006	21/12/2009	Modification
IPRU(INV)13.12.3 (2)	JLT Consultants & Actuaries Limited	120975	22/12/2009	31/12/2011	Modification
IPRU(INV)13.12.3 (2)	JLT Consultants & Actuaries Limited	120975	01/01/2012	31/12/2013	Modification
IPRU(INV)13.12.3 (2)	Openwork Limited	408285	28/09/2006	31/10/2009	Modification
IPRU(INV)13.12.3 (2)	Openwork Limited	408285	09/01/2007	08/01/2010	Modification
IPRU(INV)13.12.3 (2)	Openwork Limited	408285	31/12/2015	30/06/2016	Modification
IPRU(INV)13.12.3 (2)	Openwork Limited	408285	01/01/2012	31/12/2013	Modification
IPRU(INV)13.12.3 (2)	Openwork Limited	408285	16/10/2012	31/12/2013	Modification
IPRU(INV)13.12.3 (2)	Openwork Limited	408285	31/12/2013	21/12/2015	Modification
IPRU(INV)13.12.3 (2)	Openwork Limited	408285	31/12/2015	30/06/2016	Modification
IPRU(INV)13.12.3 (2)	Openwork Limited	408285	08/01/2010	31/12/2011	Modification
IPRU(INV)13.12.3 (2)	Openwork Limited	408285	13/10/2009	31/10/2012	Modification
IPRU(INV)13.12.3(2)	Personal Touch Financial Services Ltd	187834	06/08/2010	31/12/2011	Modification
IPRU(INV)13.12.3 (2)	Sage Financial Services Limited	150452	26/08/2005	25/08/2008	Modification
IPRU(INV)13.12.3 (2)	Sage Financial Services Limited	150452	19/08/2011	31/12/2013	Modification
IPRU(INV)13.12.3 (2)	Sesame Limited	150427	29/11/2009	31/12/2011	Modification
IPRU(INV)13.12.3 (2)	Sesame Limited	150427	20/11/2013	31/12/2015	Modification
IPRU(INV)13.12.3 (2)	The Whitechurch Network Limited	190859	18/05/2007	17/05/2010	Modification
IPRU(INV)13.12.3 (2)	The Whitechurch Network Limited	190859	08/10/2010	31/12/2011	Modification
IPRU(INV)13.12.3 (13)	Openwork Limited	408285	13/10/2009	31/10/2012	Modification
IPRU(INV)13.12.3R (2b)	Personal Touch Financial Services Ltd	187834	01/07/2016	30/06/2019	Modification
IPRU(INV)13.13.3	Manor Brokers	131243	26/11/2003	11/09/2004	Modification
IPRU(INV)14.1.4	BROKERTEC EUROPE LIMITED	161197	05/04/2006	01/01/2007	Modification
IPRU(INV)14.1.4	Exotix Limited	142605	05/04/2006	01/01/2007	Modification
IPRU(INV)14.1.4	Guy Butler Limited	190911	05/04/2006	01/01/2007	Modification
IPRU(INV)14.1.4	Icap Energy Limited	161196	05/04/2006	01/01/2007	Modification
IPRU(INV)14.1.4	ICAP Europe Limited	188984	05/04/2006	01/01/2007	Modification
IPRU(INV)14.1.4	ICAP Global Derivatives Limited	191757	05/04/2006	01/01/2007	Modification
IPRU(INV)14.1.4	ICAP Securities Limited	124520	05/04/2006	01/01/2007	Modification
IPRU(INV)14.1.4	ICAP Securities USA LLC	178855	05/04/2006	01/01/2007	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
IPRU(INV)14.1.4	ICAP WCLK Limited	124341	05/04/2006	01/01/2007	Modification
IPRU(INV)14.1.4 (2)	Canaccord Genuity Limited	182011	19/10/2005	01/01/2007	Modification
IPRU(INV)14.1.4 (2)	CNC Property Fund Management Limited	313053	19/10/2005	01/01/2007	Modification
IPRU(INV)14.1.4 (2)	Tullett Liberty (Oil & Energy) Limited	218461	19/10/2005	01/01/2007	Modification
IPRU(INV)14.1.4 (2)	Tullett Prebon (Equities) Limited	147091	19/10/2005	01/01/2007	Modification
IPRU(INV)14.1.4 (2)	Tullett Prebon (Europe) Limited	146880	19/10/2005	01/01/2007	Modification
IPRU(INV)14.1.4 (2)	Tullett Prebon (Securities) Limited	154234	19/10/2005	01/01/2007	Modification
IPRU(INV)14.4.1	Baillie Gifford & Co	142597	29/03/2005	31/03/2007	Waiver
IPRU(INV)14.4.1	Baillie Gifford & Co Limited	119179	29/03/2005	31/03/2007	Waiver
IPRU(INV)14.4.1	Baillie Gifford Overseas Limited	121818	29/03/2005	31/03/2007	Waiver
IPRU(INV)14.4.1	Baillie Gifford Savings Management Limited	150233	29/03/2005	31/03/2007	Waiver
IPRU(INV)14.4.1	Mitsubishi UFJ Baillie Gifford Asset Management Limited	145243	29/03/2005	31/03/2007	Waiver
IPRU(INV)14.4.3	Citigroup Global Markets Limited	124384	04/03/2005	04/03/2007	Modification
IPRU(INV)14.5.2 (3)	BMO Asset Management Limited	119230	26/07/2006	30/04/2007	Modification
IPRU(INV)14.5.2 (3)	BMO Asset Managers Limited	148926	26/07/2006	30/04/2007	Modification
IPRU(INV)14.5.2 (3)	BMO Fund Management Limited	121940	26/07/2006	30/04/2007	Modification
IPRU(INV)14.5.2 (3)	BMO Investment Business Limited	177896	26/07/2006	30/04/2007	Modification
IPRU(INV)14.5.2 (3)	BMO Managers Limited	121980	26/07/2006	30/04/2007	Modification
IPRU(INV)14.5.2 (3)	BMO REP Asset Management plc	119283	26/07/2006	30/04/2007	Modification
IPRU(INV)14.5.2 (3)	ISIS Equity Partners Plc	122202	26/07/2006	30/04/2007	Modification
IPRU(INV)17.1.3	Platinum Insurance Consultants	135933	08/09/2003	01/06/2004	Modification
IPRU(INV) Annex2.2	Albatroz Security Management UK LLP	595847	11/07/2018	30/10/2018	Modification
IPRU(INV) Annex2.2	Albion Capital Group LLP	492536	14/01/2013	14/04/2013	Modification
IPRU(INV) Annex2.2	Auden Capital LLP	473649	06/03/2012	06/06/2012	Modification
IPRU(INV) Annex2.2	Frostrow Capital LLP	460360	26/09/2008	25/09/2009	Modification
IPRU(INV) Annex2.2	Lime Rock Management LLP	220517	07/07/2010	06/11/2010	Modification
IPRU(INV) Annex2.2	Lonburgh Capital LLP	602292	17/03/2017	17/05/2017	Modification
IPRU(INV) Annex2.2	Mosaic Property LLP	436139	11/11/2008	10/11/2009	Modification
IPRU(INV) Annex2.2	Mosaic Property LLP	436139	13/01/2010	30/04/2010	Modification
IPRU(INV) Annex2.2	V Advisers LLP	500478	09/02/2012	31/12/2012	Modification

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IPRU(INV) Annex2.2.2	Consortium Investment Management LLP	466575	01/04/2015	01/07/2015	Modification
IPRU(INV) Annex2.2.2	The Blackstone Group International Partners LLP	520839	11/07/2011	11/07/2012	Modification
IPRU(INV) Annex2.4	The Analyst Research LLP	605593	13/12/2016	31/01/2017	Modification
IPRU(INV) AnnexA.2.2	Albatroz Security Management UK LLP	595847	21/11/2018	20/01/2019	Modification
IPRU(INV) AnnexA.2.2	Lepe Partners LLP	542948	30/06/2015	31/08/2015	Modification
IPRU(INV) AnnexA.2.2	Moelis & Company UK LLP	516801	12/09/2014	11/11/2014	Modification
IPRU(INV) AnnexA.2.2	NS Asset Management LLP	226367	25/02/2016	25/05/2016	Modification
IPRU(INV) AnnexA.2.2	Total Capital Partners LLP	485651	10/03/2014	09/06/2014	Modification
IPRU(INV) AnnexA.2.2 (2)	CBPE Capital LLP	229900	19/09/2017	31/03/2018	Modification