

The FCA Register is at					
http://www.fsa.gov.uk/register/home.do					
Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1	Hartley Greatbatch & Company	148866	31/12/2012	31/12/2013	Modification
TC2.1	Paragon Independent Limited	440589	31/12/2012	01/11/2013	Modification
TC2.1.1	Blueprint Distribution Ltd	426317	01/02/2013	31/12/2013	Modification
TC2.1.1	Credit Suisse Securities (Europe) Ltd	124611	26/07/2002	26/01/2003	Waiver
TC2.1.1	First Command Europe Ltd	482323	11/07/2012	10/07/2015	Modification
TC2.1.1	Geoff Walker	528041	16/11/2012	31/12/2013	Modification
TC2.1.1	Just Investment Strategies Ltd	431390	08/01/2013	08/07/2013	Modification
TC2.1.1	Plan For Life Wealth Management Limited	541273	31/12/2012	31/12/2013	Modification
TC2.1.1	Regentia Lifestyle Planning Limited	413890	31/12/2012	30/06/2013	Waiver
TC2.1.1	Salisbury Financial Services Limited	116461	31/12/2012	31/12/2013	Modification
TC2.1.1	St. James's Place Wealth Management Plc	195351	31/12/2012	31/12/2013	Modification
TC2.1.1	St. James's Place Wealth Management Plc	195351	31/12/2012	31/12/2013	Modification
TC2.1.1	The Mortgage Helpline UK	303282	22/04/2014	31/10/2016	Modification
TC2.1.1 (1)	The Mortgage Helpline UK	303282	21/09/2016	31/10/2018	Waiver
TC2.1.1 (R)	First Command Europe Ltd	482323	23/09/2015	22/09/2020	Modification
TC2.1.2	Credit Suisse AG	119206	26/07/2002	26/01/2003	Waiver
TC2.1.2	Credit Suisse International	146702	26/07/2002	26/01/2003	Waiver
TC2.1.2	Lloyds Bank PLC	119278	31/05/2002	31/12/2002	Waiver
TC2.1.2	The Prudential Assurance Company Limited	139793	25/04/2002	31/03/2003	Waiver
TC2.1.4	Legal & General Investment Management Ltd	119272	05/08/2002	05/08/2003	Waiver
TC2.1.6	The Mortgage Helpline UK	303282	21/09/2016	31/10/2018	Waiver
TC2.1.6	The Mortgage Helpline UK	303282	22/04/2014	31/10/2016	Modification
TC2.1.7	Lifeline Insurance Services Ltd	519735	23/07/2014	31/12/2014	Waiver
TC2.1.8	4Life Financial Planning Ltd	231708	11/10/2013	10/07/2014	Modification
TC2.1.8	4Life Financial Planning Ltd	231708	10/12/2012	30/09/2013	Modification
TC2.1.8	A.P. Financial Services UK Ltd	218973	03/02/2014	31/08/2014	Modification
TC2.1.8	A.P. Financial Services UK Ltd	218973	05/02/2013	31/12/2013	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.8	AAA Management Limited	414741	15/11/2013	30/06/2014	Modification
TC2.1.8	Advanced Financial Management	424392	11/12/2012	31/12/2013	Modification
TC2.1.8	Akshar Financial Services Ltd	457607	06/02/2013	06/08/2013	Modification
TC2.1.8	Allcover Financial Services	194988	31/12/2012	30/06/2013	Modification
TC2.1.8	AM&A Investment & Pension Planning Ltd	445480	16/10/2012	19/11/2013	Modification
TC2.1.8	Andrew Baxter	453786	31/12/2012	30/06/2013	Modification
TC2.1.8	Arjent Limited	197330	01/01/2014	01/07/2014	Waiver
TC2.1.8	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.8	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.8	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.8	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.8	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.8	Asset Independent Financial Advisors Ltd	139062	07/02/2013	31/12/2013	Modification
TC2.1.8	Asset Independent Financial Advisors Ltd	139062	08/01/2013	07/01/2014	Modification
TC2.1.8	Bank of America Merrill Lynch International Designated Activity Co	435887	28/12/2012	31/12/2013	Modification
TC2.1.8	Bank of America Merrill Lynch International Designated Activity Co	435887	28/12/2012	31/12/2013	Modification
TC2.1.8	Bank of America Merrill Lynch International Designated Activity Co	435887	28/12/2012	31/12/2013	Modification
TC2.1.8	Bentley Independent Financial Advisers	146733	11/01/2013	31/12/2013	Modification
TC2.1.8	Blyth-Richmond Investment Managers	114422	04/01/2013	09/12/2013	Modification
TC2.1.8	Broadlands Partnership Limited	565547	31/12/2012	31/12/2013	Waiver
TC2.1.8	Brodie MacLean Limited	446945	31/12/2012	31/12/2013	Modification
TC2.1.8	Caerus Financial Limited	497604	31/12/2012	31/12/2013	Modification
TC2.1.8	Caerus Financial Limited	497604	31/12/2012	28/03/2013	Modification
TC2.1.8	Campbell Dallas Financial Services Ltd	188639	03/01/2014	30/04/2014	Waiver
TC2.1.8	Campbell Dallas Financial Services Ltd	188639	08/01/2013	31/12/2013	Waiver
TC2.1.8	Campbell Dallas Financial Services Ltd	188639	01/05/2014	30/06/2014	Modification
TC2.1.8	Canaccord Genuity Limited	182011	31/12/2012	31/12/2013	Modification
TC2.1.8	Cartlidge Morland	182556	23/01/2014	23/09/2014	Modification
TC2.1.8	Cartlidge Morland	182556	29/09/2014	31/12/2014	Waiver
TC2.1.8	Cartlidge Morland	182556	06/12/2012	31/12/2013	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.8	Castle Financial & Mortgage Services	230534	17/12/2012	31/12/2013	Modification
TC2.1.8	Chancery (UK) LLP	408069	21/02/2013	31/12/2013	Modification
TC2.1.8	Chancery (UK) LLP	408069	01/01/2014	31/12/2015	Modification
TC2.1.8	Chartwell Independent Financial Services	430792	31/12/2012	31/12/2013	Modification
TC2.1.8	Chartwell Independent Financial Services	430792	31/12/2013	28/02/2014	Waiver
TC2.1.8	Coloma Wealth Management LLP	563449	01/05/2012	30/06/2014	Modification
TC2.1.8	Danamere Employee Benefits Ltd	436063	24/01/2013	23/01/2014	Modification
TC2.1.8	Danforth Ltd	439475	01/05/2012	30/09/2013	Modification
TC2.1.8	David Booter & Company	146287	31/12/2012	30/12/2013	Modification
TC2.1.8	David Chubb Financial Planning	154773	31/12/2012	31/12/2013	Modification
TC2.1.8	Demontfort Professional Wealth Management LLP	474086	31/12/2012	31/12/2013	Modification
TC2.1.8	Financial Relationships LLP	483315	16/11/2011	16/11/2011	Modification
TC2.1.8	Fisher & Co (Financial Services) Ltd	462735	02/11/2012	31/12/2013	Modification
TC2.1.8	Gail Renshaw Independent Financial Adviser	475453	31/12/2012	01/02/2013	Modification
TC2.1.8	Gore Browne Investment Management LLP	402529	31/12/2012	30/06/2014	Waiver
TC2.1.8	Grosvenor Butterworth (Financial Services) Limited	152754	23/07/2012	31/12/2013	Waiver
TC2.1.8	Grosvenor Butterworth (Financial Services) Limited	152754	01/01/2014	31/12/2014	Modification
TC2.1.8	Hartley Greatbatch & Company	148866	01/01/2014	30/06/2014	Modification
TC2.1.8	HSBC Bank Plc	114216	31/12/2012	31/12/2013	Waiver
TC2.1.8	Hudson Foster Financial Services Limited	131285	28/06/2012	30/12/2013	Modification
TC2.1.8	Hume Capital Securities plc	504211	31/12/2012	31/12/2013	Modification
TC2.1.8	Independent Financial Management Service (Europe) Limited	439180	31/12/2012	30/06/2013	Modification
TC2.1.8	Independently East Ltd	488046	02/04/2014	01/01/2015	Modification
TC2.1.8	Independently East Ltd	488046	24/01/2013	31/12/2013	Waiver
TC2.1.8	Jennison Portfolio Management	114949	01/01/2015	31/12/2015	Modification
TC2.1.8	Jennison Portfolio Management	114949	31/12/2012	31/12/2014	Modification
TC2.1.8	John David Topalian, Esq.	114955	31/12/2012	30/06/2013	Modification
TC2.1.8	Jordan Financial Management Ltd	474932	19/10/2012	31/12/2013	Modification
TC2.1.8	K.A. Ripley, Esq.	136178	31/12/2012	31/12/2013	Waiver
TC2.1.8	K.A. Ripley, Esq.	136178	31/12/2013	31/03/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.8	Keystone Financial Ltd	501917	17/12/2012	31/12/2013	Modification
TC2.1.8	Keystone Financial Ltd	501917	14/01/2014	31/12/2014	Modification
TC2.1.8	Killik & Co LLP	462016	31/12/2012	30/05/2013	Modification
TC2.1.8	Kingswood Financial Advisors	455859	31/12/2012	31/12/2013	Modification
TC2.1.8	Kleinwort Benson Bank Ltd	119269	02/01/2013	31/12/2013	Modification
TC2.1.8	Kymin Financial Services Ltd	189815	31/12/2012	31/12/2013	Modification
TC2.1.8	Kymin Financial Services Ltd	189815	19/07/2012	31/12/2013	Waiver
TC2.1.8	Kymin Financial Services Ltd	189815	01/01/2014	25/02/2014	Modification
TC2.1.8	L J Financial Planning Ltd	429142	12/12/2012	31/12/2013	Modification
TC2.1.8	LCM Wealth Management Ltd	227651	27/03/2014	30/09/2014	Modification
TC2.1.8	Legal and Financial Planning Limited	457377	31/12/2012	25/02/2013	Modification
TC2.1.8	Lifeline Insurance Services Ltd	519735	31/12/2012	31/12/2013	Modification
TC2.1.8	Lighthouse Advisory Services Limited	195199	31/12/2012	30/06/2013	Modification
TC2.1.8	Lighthouse Advisory Services Limited	195199	20/07/2012	31/12/2014	Waiver
TC2.1.8	M Hunter & Co Limited	528909	26/03/2013	25/09/2013	Waiver
TC2.1.8	Marchant McKechnie Independent Financial Advisers Limited	518375	31/12/2012	31/12/2013	Waiver
TC2.1.8	Mayfield Financial Services Limited	176527	22/11/2012	31/12/2013	Waiver
TC2.1.8	Mayfield Financial Services Limited	176527	01/01/2014	30/06/2014	Modification
TC2.1.8	McLean's	146450	25/03/2013	24/09/2014	Modification
TC2.1.8	Medical Money Management	114729	31/12/2012	31/12/2013	Waiver
TC2.1.8	Merlin Financial Consultants Limited	138777	31/12/2012	31/12/2012	Waiver
TC2.1.8	Merlin Financial Services Limited	220125	31/12/2012	31/12/2013	Modification
TC2.1.8	Michael Mac Wealth Management	460594	31/12/2012	31/12/2012	Modification
TC2.1.8	MOI Financial Consulting Ltd	538710	31/12/2012	31/12/2013	Modification
TC2.1.8	Moneynotation Limited	137380	18/02/2013	31/12/2013	Modification
TC2.1.8	Morgan Finance	144883	31/12/2012	30/06/2014	Modification
TC2.1.8	Nationwide Building Society	106078	31/12/2012	31/12/2013	Modification
TC2.1.8	Openwork Limited	408285	18/01/2013	01/07/2013	Modification
TC2.1.8	Openwork Limited	408285	31/01/2013	12/12/2013	Modification
TC2.1.8	Openwork Limited	408285	25/06/2013	14/07/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.8	Optimus Associates	125912	15/02/2013	19/11/2013	Modification
TC2.1.8	Orchard House (IFAs) Ltd	433181	31/12/2012	31/12/2013	Modification
TC2.1.8	Orchard House (IFAs) Ltd	433181	19/01/2015	18/06/2015	Modification
TC2.1.8	Oxford Financial Planning	485447	31/12/2012	31/12/2013	Waiver
TC2.1.8	Oxford Financial Planning	485447	01/01/2014	01/04/2014	Modification
TC2.1.8	Parker Kelly Financial Services	183477	31/12/2012	31/12/2013	Modification
TC2.1.8	Peter G Bodington & Associates	430836	14/12/2012	31/12/2013	Waiver
TC2.1.8	Peter Gay & Company	158879	31/12/2012	31/12/2013	Waiver
TC2.1.8	Pier Financial	163331	14/02/2013	13/08/2013	Waiver
TC2.1.8	PJG Financial Services Limited	400658	27/02/2013	30/09/2013	Modification
TC2.1.8	R T Financial Services UK Limited	459445	31/12/2012	30/06/2013	Modification
TC2.1.8	R&Quiem Financial Services Limited	134699	31/12/2012	30/06/2013	Modification
TC2.1.8	R&Quiem Financial Services Limited	134699	01/11/2013	31/10/2014	Modification
TC2.1.8	Radcliffe & Company (Life & Pensions) Limited	125160	31/12/2012	31/12/2013	Modification
TC2.1.8	Radcliffe & Company (Life & Pensions) Limited	125160	01/01/2014	30/06/2014	Modification
TC2.1.8	Radcliffe & Company (Life & Pensions) Limited	125160	31/12/2012	31/12/2013	Waiver
TC2.1.8	Rixon Matthews Appleyard (Financial Services) Limited	149231	19/11/2012	31/12/2013	Modification
TC2.1.8	Seago Butler + Stopps Financial Services Ltd	303822	31/12/2012	31/12/2013	Waiver
TC2.1.8	Seago Butler + Stopps Financial Services Ltd	303822	31/12/2013	31/12/2014	Waiver
TC2.1.8	Sesame Limited	150427	31/01/2013	31/01/2014	Waiver
TC2.1.8	Sesame Limited	150427	31/12/2012	31/12/2014	Modification
TC2.1.8	Sesame Limited	150427	25/04/2013	31/12/2013	Modification
TC2.1.8	Sesame Limited	150427	21/01/2013	31/12/2013	Modification
TC2.1.8	SK8 Financial Services Ltd	230129	31/12/2012	31/12/2013	Modification
TC2.1.8	Standard Chartered Bank	114276	07/01/2013	04/07/2013	Modification
TC2.1.8	Stuart Lewis	577429	11/04/2016	10/04/2018	Waiver
TC2.1.8	Stuart Lewis	577429	31/12/2012	31/12/2014	Modification
TC2.1.8	Stuart Lewis	577429	01/01/2015	01/07/2015	Modification
TC2.1.8	Succession Financial Management Limited	225831	01/05/2014	30/06/2014	Modification
TC2.1.8	Succession Financial Management Limited	225831	04/03/2014	30/04/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.8	Succession Wealth Management Ltd	588378	01/05/2014	30/06/2014	Modification
TC2.1.8	Succession Wealth Management Ltd	588378	04/03/2014	30/04/2014	Modification
TC2.1.8	TDF Investment Services LLP	212744	31/12/2012	31/12/2013	Modification
TC2.1.8	TenetConnect Limited	149826	03/05/2013	02/07/2014	Modification
TC2.1.8	TenetConnect Limited	149826	31/12/2012	31/12/2013	Modification
TC2.1.8	TenetConnect Limited	149826	31/12/2012	31/12/2013	Modification
TC2.1.8	TenetConnect Limited	149826	06/07/2012	30/06/2013	Waiver
TC2.1.8	TenetConnect Limited	149826	31/12/2012	31/12/2012	Modification
TC2.1.8	TenetConnect Limited	149826	01/05/2013	29/11/2013	Modification
TC2.1.8	TenetConnect Limited	149826	31/12/2012	31/12/2013	Waiver
TC2.1.8	The Alexander Beard Group Plc	136720	31/12/2012	31/12/2013	Modification
TC2.1.8	The Joseph Bevan Partnership Limited	537898	09/11/2012	30/06/2013	Waiver
TC2.1.8	The Red House Consulting Limited	467117	08/06/2011	31/12/2013	Modification
TC2.1.8	The Wright Financial Consultancy	190745	02/01/2013	31/12/2013	Modification
TC2.1.8	Tilney Investment Management	124255	03/12/2012	10/06/2013	Modification
TC2.1.8	To Bee Advised Financial Services Limited	210084	28/05/2013	31/12/2013	Modification
TC2.1.8	Towergate Financial (Scotland) Limited	148149	10/08/2012	31/12/2013	Modification
TC2.1.8	Trafalgar Financial Advisers	460024	13/09/2013	30/06/2014	Waiver
TC2.1.8	Vale Independent Financial Advisers Limited	491461	23/01/2013	31/12/2013	Modification
TC2.1.8	Velenski & Co Ltd	442385	19/02/2013	31/12/2013	Modification
TC2.1.8	Widelist Investments Limited	145829	27/02/2012	31/12/2013	Modification
TC2.1.8 (1)	The On-Line Partnership Limited	192638	31/12/2012	30/06/2013	Modification
TC2.1.15	Heritage Financial Services	185508	27/05/2014	30/05/2015	Modification
TC2.1.15	Heritage Financial Services (IW) Limited	629578	02/02/2015	23/05/2015	Modification
TC2.1.15	HPB Management Ltd	232235	31/12/2012	30/12/2017	Modification
TC2.1.27	4Life Financial Planning Ltd	231708	11/10/2013	10/07/2014	Modification
TC2.1.27	4Life Financial Planning Ltd	231708	10/12/2012	30/09/2013	Modification
TC2.1.27	A.P. Financial Services UK Ltd	218973	03/02/2014	31/08/2014	Modification
TC2.1.27	A.P. Financial Services UK Ltd	218973	05/02/2013	31/12/2013	Modification
TC2.1.27	AAA Management Limited	414741	15/11/2013	30/06/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.27	Advanced Financial Management	424392	11/12/2012	31/12/2013	Modification
TC2.1.27	Akshar Financial Services Ltd	457607	06/02/2013	06/08/2013	Modification
TC2.1.27	Allcover Financial Services	194988	31/12/2012	30/06/2013	Modification
TC2.1.27	Andrew Baxter	453786	31/12/2012	30/06/2013	Modification
TC2.1.27	Arjent Limited	197330	01/01/2014	01/07/2014	Waiver
TC2.1.27	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.27	Arjent Limited	197330	01/01/2014	01/07/2014	Modification
TC2.1.27	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.27	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.27	Arjent Limited	197330	01/01/2014	01/07/2014	Modification
TC2.1.27	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.27	Arjent Limited	197330	31/12/2012	31/12/2013	Modification
TC2.1.27	Asset Independent Financial Advisors Ltd	139062	07/02/2013	31/12/2013	Modification
TC2.1.27	Asset Independent Financial Advisors Ltd	139062	08/01/2013	07/01/2014	Modification
TC2.1.27	Bank of America Merrill Lynch International Designated Activity Co	435887	28/12/2012	31/12/2013	Modification
TC2.1.27	Bank of America Merrill Lynch International Designated Activity Co	435887	28/12/2012	31/12/2013	Modification
TC2.1.27	Bank of America Merrill Lynch International Designated Activity Co	435887	28/12/2012	31/12/2013	Modification
TC2.1.27	Bentley Independent Financial Advisers	146733	11/01/2013	31/12/2013	Modification
TC2.1.27	Blueprint Distribution Ltd	426317	01/02/2013	31/12/2013	Modification
TC2.1.27	Blyth-Richmond Investment Managers	114422	04/01/2013	09/12/2013	Modification
TC2.1.27	Broadlands Partnership Limited	565547	31/12/2012	31/12/2013	Waiver
TC2.1.27	Caerus Financial Limited	497604	31/12/2012	31/12/2013	Modification
TC2.1.27	Caerus Financial Limited	497604	31/12/2012	28/03/2013	Modification
TC2.1.27	Campbell Dallas Financial Services Ltd	188639	03/01/2014	30/04/2014	Waiver
TC2.1.27	Campbell Dallas Financial Services Ltd	188639	08/01/2013	31/12/2013	Waiver
TC2.1.27	Campbell Dallas Financial Services Ltd	188639	01/05/2014	30/06/2014	Modification
TC2.1.27	Canaccord Genuity Limited	182011	31/12/2012	31/12/2013	Modification
TC2.1.27	Cartlidge Morland	182556	23/01/2014	23/09/2014	Modification
TC2.1.27	Cartlidge Morland	182556	29/09/2014	31/12/2014	Waiver
TC2.1.27	Cartlidge Morland	182556	06/12/2012	31/12/2013	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.27	Castle Financial & Mortgage Services	230534	17/12/2012	31/12/2013	Modification
TC2.1.27	Chancery (UK) LLP	408069	21/02/2013	31/12/2013	Modification
TC2.1.27	Chartwell Independent Financial Services	430792	31/12/2013	28/02/2014	Waiver
TC2.1.27	Danamere Employee Benefits Ltd	436063	24/01/2013	23/01/2014	Modification
TC2.1.27	David Chubb Financial Planning	154773	31/12/2012	31/12/2013	Modification
TC2.1.27	Demontfort Professional Wealth Management LLP	474086	31/12/2012	31/12/2013	Modification
TC2.1.27	Fisher & Co (Financial Services) Ltd	462735	02/11/2012	31/12/2013	Modification
TC2.1.27	Gail Renshaw Independent Financial Adviser	475453	31/12/2012	01/02/2013	Modification
TC2.1.27	GBIM Limited	593265	06/01/2014	30/06/2014	Modification
TC2.1.27	Grosvenor Butterworth (Financial Services) Limited	152754	23/07/2012	31/12/2013	Waiver
TC2.1.27	Grosvenor Butterworth (Financial Services) Limited	152754	01/01/2014	31/12/2014	Modification
TC2.1.27	Hartley Greatbatch & Company	148866	01/01/2014	30/06/2014	Modification
TC2.1.27	Hartley Greatbatch & Company	148866	22/07/2014	31/12/2014	Modification
TC2.1.27	HPB Management Ltd	232235	31/12/2012	30/12/2017	Modification
TC2.1.27	HSBC Bank Plc	114216	31/12/2012	31/12/2013	Waiver
TC2.1.27	Hudson Foster Financial Services Limited	131285	28/06/2012	30/12/2013	Modification
TC2.1.27	Hume Capital Securities plc	504211	31/12/2012	31/12/2013	Modification
TC2.1.27	Independent Financial Management Service (Europe) Limited	439180	31/12/2012	30/06/2013	Modification
TC2.1.27	Independently East Ltd	488046	02/04/2014	01/01/2015	Modification
TC2.1.27	Independently East Ltd	488046	24/01/2013	31/12/2013	Waiver
TC2.1.27	Jennison Portfolio Management	114949	01/01/2015	31/12/2015	Modification
TC2.1.27	Jennison Portfolio Management	114949	01/01/2016	31/12/2016	Modification
TC2.1.27	John David Topalian, Esq.	114955	31/12/2012	30/06/2013	Modification
TC2.1.27	Jordan Financial Management Ltd	474932	19/10/2012	31/12/2013	Modification
TC2.1.27	Just Investment Strategies Ltd	431390	08/01/2013	08/07/2013	Modification
TC2.1.27	K.A. Ripley, Esq.	136178	31/12/2012	31/12/2013	Waiver
TC2.1.27	K.A. Ripley, Esq.	136178	31/12/2013	31/03/2014	Modification
TC2.1.27	Keystone Financial Ltd	501917	17/12/2012	31/12/2013	Modification
TC2.1.27	Keystone Financial Ltd	501917	14/01/2014	31/12/2014	Modification
TC2.1.27	Killik & Co LLP	462016	31/12/2012	30/05/2013	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.27	Kleinwort Benson Bank Ltd	119269	02/01/2013	31/12/2013	Modification
TC2.1.27	Kymin Financial Services Ltd	189815	31/12/2012	31/12/2013	Modification
TC2.1.27	Kymin Financial Services Ltd	189815	19/07/2012	31/12/2013	Waiver
TC2.1.27	Kymin Financial Services Ltd	189815	01/01/2014	25/02/2014	Modification
TC2.1.27	L J Financial Planning Ltd	429142	12/12/2012	31/12/2013	Modification
TC2.1.27	LCM Wealth Management Ltd	227651	27/03/2014	30/09/2014	Modification
TC2.1.27	Legal and Financial Planning Limited	457377	31/12/2012	25/02/2013	Modification
TC2.1.27	Lifeline Insurance Services Ltd	519735	31/12/2012	31/12/2013	Modification
TC2.1.27	Lighthouse Advisory Services Limited	195199	31/12/2012	30/06/2013	Modification
TC2.1.27	M Hunter & Co Limited	528909	26/03/2013	25/09/2013	Waiver
TC2.1.27	Marchant McKechnie Independent Financial Advisers Limited	518375	31/12/2012	31/12/2013	Waiver
TC2.1.27	Mayfield Financial Services Limited	176527	22/11/2012	31/12/2013	Waiver
TC2.1.27	Mayfield Financial Services Limited	176527	01/01/2014	30/06/2014	Modification
TC2.1.27	McLean's	146450	25/03/2013	24/09/2014	Modification
TC2.1.27	Medical Money Management	114729	31/12/2012	31/12/2013	Waiver
TC2.1.27	Merlin Financial Consultants Limited	138777	31/12/2012	31/12/2012	Waiver
TC2.1.27	Merlin Financial Services Limited	220125	31/12/2012	31/12/2013	Modification
TC2.1.27	Michael Mac Wealth Management	460594	31/12/2012	31/12/2012	Modification
TC2.1.27	MOI Financial Consulting Ltd	538710	31/12/2012	31/12/2013	Modification
TC2.1.27	Moneynotation Limited	137380	18/02/2013	31/12/2013	Modification
TC2.1.27	Morgan Finance	144883	31/12/2012	30/06/2014	Modification
TC2.1.27	Nationwide Building Society	106078	31/12/2012	31/12/2013	Modification
TC2.1.27	Openwork Limited	408285	18/01/2013	01/07/2013	Modification
TC2.1.27	Openwork Limited	408285	31/01/2013	12/12/2013	Modification
TC2.1.27	Openwork Limited	408285	25/06/2013	14/07/2014	Modification
TC2.1.27	Optimus Associates	125912	15/02/2013	19/11/2013	Modification
TC2.1.27	Orchard House (IFAs) Ltd	433181	31/12/2012	31/12/2013	Modification
TC2.1.27	Orchard House (IFAs) Ltd	433181	19/01/2015	18/06/2015	Modification
TC2.1.27	Oxford Financial Planning	485447	31/12/2012	31/12/2013	Waiver
TC2.1.27	Oxford Financial Planning	485447	01/01/2014	01/04/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.27	Parker Kelly Financial Services	183477	31/12/2012	31/12/2013	Modification
TC2.1.27	Peter G Bodington & Associates	430836	14/12/2012	31/12/2013	Waiver
TC2.1.27	Peter Gay & Company	158879	31/12/2012	31/12/2013	Waiver
TC2.1.27	Pier Financial	163331	14/02/2013	13/08/2013	Waiver
TC2.1.27	PJG Financial Services Limited	400658	27/02/2013	30/09/2013	Modification
TC2.1.27	Plan For Life Wealth Management Limited	541273	31/12/2012	31/12/2013	Modification
TC2.1.27	R T Financial Services UK Limited	459445	31/12/2012	30/06/2013	Modification
TC2.1.27	R&Quiem Financial Services Limited	134699	01/11/2013	31/10/2014	Modification
TC2.1.27	Radcliffe & Company (Life & Pensions) Limited	125160	31/12/2012	31/12/2013	Modification
TC2.1.27	Radcliffe & Company (Life & Pensions) Limited	125160	01/01/2014	30/06/2014	Modification
TC2.1.27	Radcliffe & Company (Life & Pensions) Limited	125160	31/12/2012	31/12/2013	Waiver
TC2.1.27	Rixon Matthews Appleyard (Financial Services) Limited	149231	19/11/2012	31/12/2013	Modification
TC2.1.27	Seago Butler + Stopps Financial Services Ltd	303822	31/12/2012	31/12/2013	Waiver
TC2.1.27	Seago Butler + Stopps Financial Services Ltd	303822	31/12/2013	31/12/2014	Waiver
TC2.1.27	Seago Butler + Stopps Financial Services Ltd	303822	23/12/2014	22/06/2015	Modification
TC2.1.27	Seago Butler + Stopps Financial Services Ltd	303822	29/06/2015	28/12/2015	Modification
TC2.1.27	Sesame Limited	150427	31/01/2013	31/01/2014	Waiver
TC2.1.27	Sesame Limited	150427	31/12/2012	31/12/2014	Modification
TC2.1.27	Sesame Limited	150427	25/04/2013	31/12/2013	Modification
TC2.1.27	Sesame Limited	150427	21/01/2013	31/12/2013	Modification
TC2.1.27	SK8 Financial Services Ltd	230129	31/12/2012	31/12/2013	Modification
TC2.1.27	St. James's Place Wealth Management Plc	195351	31/12/2012	31/12/2013	Modification
TC2.1.27	St. James's Place Wealth Management Plc	195351	31/12/2012	31/12/2013	Modification
TC2.1.27	Standard Chartered Bank	114276	07/01/2013	04/07/2013	Modification
TC2.1.27	Stuart Lewis	577429	11/04/2016	10/04/2018	Waiver
TC2.1.27	Stuart Lewis	577429	31/12/2012	31/12/2014	Modification
TC2.1.27	Stuart Lewis	577429	01/01/2015	01/07/2015	Modification
TC2.1.27	Succession Financial Management Limited	225831	01/05/2014	30/06/2014	Modification
TC2.1.27	Succession Financial Management Limited	225831	04/03/2014	30/04/2014	Modification
TC2.1.27	Succession Wealth Management Ltd	588378	01/05/2014	30/06/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.27	Succession Wealth Management Ltd	588378	04/03/2014	30/04/2014	Modification
TC2.1.27	TDF Investment Services LLP	212744	31/12/2012	31/12/2013	Modification
TC2.1.27	TenetConnect Limited	149826	03/05/2013	02/07/2014	Modification
TC2.1.27	TenetConnect Limited	149826	31/12/2012	31/12/2013	Modification
TC2.1.27	TenetConnect Limited	149826	31/12/2012	31/12/2013	Modification
TC2.1.27	TenetConnect Limited	149826	06/07/2012	30/06/2013	Waiver
TC2.1.27	TenetConnect Limited	149826	01/05/2013	29/11/2013	Modification
TC2.1.27	TenetConnect Limited	149826	31/12/2012	31/12/2013	Waiver
TC2.1.27	The Alexander Beard Group Plc	136720	31/12/2012	31/12/2013	Modification
TC2.1.27	The Joseph Bevan Partnership Limited	537898	09/11/2012	30/06/2013	Waiver
TC2.1.27	The On-Line Partnership Limited	192638	31/12/2012	30/06/2013	Modification
TC2.1.27	The Red House Consulting Limited	467117	08/06/2011	31/12/2013	Modification
TC2.1.27	The Wright Financial Consultancy	190745	02/01/2013	31/12/2013	Modification
TC2.1.27	Tilney Investment Management	124255	03/12/2012	10/06/2013	Modification
TC2.1.27	To Bee Advised Financial Services Limited	210084	28/05/2013	31/12/2013	Modification
TC2.1.27	Towergate Financial (Scotland) Limited	148149	10/08/2012	31/12/2013	Modification
TC2.1.27	Trafalgar Financial Advisers	460024	09/02/2015	31/03/2015	Modification
TC2.1.27	Vale Independent Financial Advisers Limited	491461	23/01/2013	31/12/2013	Modification
TC2.1.27	Velenski & Co Ltd	442385	19/02/2013	31/12/2013	Modification
TC2.1.27 (1)	First Command Europe Ltd	482323	11/07/2012	10/07/2015	Modification
TC2.1.27 (1)	R&Quiem Financial Services Limited	134699	31/12/2012	30/06/2013	Modification
TC2.1.27 (R)	First Command Europe Ltd	482323	23/09/2015	22/09/2020	Modification
TC2.1.28	HPB Management Ltd	232235	31/12/2012	30/12/2017	Modification
TC2.1.1R (1)	The Mortgage Helpline UK	303282	01/11/2018	31/10/2020	Modification
TC2.1.27R	4Life Financial Planning Ltd	231708	11/07/2014	10/04/2015	Modification
TC2.1.27R	GBIM Limited	593265	30/06/2014	31/12/2015	Modification
TC2.1.27R	Trafalgar Financial Advisers	460024	24/06/2014	31/12/2014	Modification
TC2.1.6R	The Mortgage Helpline UK	303282	01/11/2018	31/10/2020	Modification
TC2.1.8A	Arjent Limited	197330	01/01/2014	01/07/2014	Modification
TC2.1.8A	Arjent Limited	197330	01/01/2014	01/07/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.1.8A	GBIM Limited	593265	06/01/2014	30/06/2014	Modification
TC2.1.8A	Hartley Greatbatch & Company	148866	22/07/2014	31/12/2014	Modification
TC2.1.8A	Jennison Portfolio Management	114949	01/01/2016	31/12/2016	Modification
TC2.1.8A	Lifeline Insurance Services Ltd	519735	23/07/2014	31/12/2014	Waiver
TC2.1.8A	Seago Butler + Stopps Financial Services Ltd	303822	23/12/2014	22/06/2015	Modification
TC2.1.8A	Seago Butler + Stopps Financial Services Ltd	303822	29/06/2015	28/12/2015	Modification
TC2.1.8A	Trafalgar Financial Advisers	460024	09/02/2015	31/03/2015	Modification
TC2.1.8AR	4Life Financial Planning Ltd	231708	11/07/2014	10/04/2015	Modification
TC2.1.8AR	GBIM Limited	593265	30/06/2014	31/12/2015	Modification
TC2.1.8AR	Trafalgar Financial Advisers	460024	24/06/2014	31/12/2014	Modification
TC2.2.4	HPB Management Ltd	232235	31/12/2012	30/12/2017	Modification
TC2.4.1	British Energy Trading Services Limited	208658	14/10/2004	13/10/2006	Waiver
TC2.4.1	British Energy Trading Services Limited	208658	24/10/2006	01/11/2007	Modification
TC2.4.1	Centrica Energy (Trading) Limited	232514	06/01/2005	06/01/2007	Modification
TC2.4.1	Chevron Global Trading Limited	114076	13/01/2005	13/01/2007	Waiver
TC2.4.1	Chevron Global Trading Limited	114076	13/01/2007	13/01/2009	Modification
TC2.4.1	Conocophillips (UK) Limited	106256	03/11/2003		Waiver
TC2.4.1	E.ON UK Trading Limited	197501	16/04/2002	01/12/2003	Modification
TC2.4.1	E.ON UK Trading Limited	197501	26/01/2004	30/11/2005	Waiver
TC2.4.1	E.ON UK Trading Limited	197501	01/12/2005	30/11/2007	Waiver
TC2.4.1	EDF Trading Markets Limited	197427	16/04/2002	01/12/2003	Modification
TC2.4.1	EDF Trading Markets Limited	197427	11/12/2003		Waiver
TC2.4.1	Energy Sales and Trading Limited	415688	22/03/2005	21/03/2007	Modification
TC2.4.1	Evolution Markets Limited	224510	04/03/2005	04/03/2007	Modification
TC2.4.1	Hartree Partners (UK) Limited	187369	11/04/2006	01/11/2007	Modification
TC2.4.1	Hartree Partners Advisory Services U.K. Limited	207789	12/10/2004	11/10/2006	Modification
TC2.4.1	Hartree Partners Advisory Services U.K. Limited	207789	13/10/2006	01/11/2007	Waiver
TC2.4.1	Inenco Energy Trading Limited	468425	01/10/2007	01/11/2007	Waiver
TC2.4.1	Jackson Son & Co (London) Ltd	114077	28/10/2002	30/11/2003	Waiver
TC2.4.1	Neste Oil Limited	106128	29/04/2005	29/04/2007	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.1	RWE Trading Services Limited	208155	11/12/2003	30/11/2004	Waiver
TC2.4.1	RWE Trading Services Limited	208155	07/12/2005	01/11/2007	Waiver
TC2.4.1	ScottishPower Energy Management (Agency) Limited	208253	11/12/2003	27/11/2018	Waiver
TC2.4.1	ScottishPower Energy Management (Agency) Limited	208253	01/12/2005	30/11/2007	Modification
TC2.4.1	Sesame Limited	150427	01/08/2003	31/07/2004	Modification
TC2.4.1	TXU Europe Trading Limited	198046	16/04/2002	01/12/2003	Waiver
TC2.4.5	FBR Capital Markets International Ltd.	184881	13/04/2007		Modification
TC2.4.5	FBR Capital Markets International Ltd.	184881	21/05/2007		Modification
TC2.4.5	FBR Capital Markets International Ltd.	184881	13/04/2007		Modification
TC2.4.5	FBR Capital Markets International Ltd.	184881	13/04/2007		Modification
TC2.4.5	FBR Capital Markets International Ltd.	184881	13/04/2007		Modification
TC2.4.5	FBR Capital Markets International Ltd.	184881	30/08/2007		Modification
TC2.4.5	FBR Capital Markets International Ltd.	184881	30/08/2007		Modification
TC2.4.5	FBR Capital Markets International Ltd.	184881	30/08/2007		Modification
TC2.4.5	350 Investment Partners LLP	453580	07/09/2006		Modification
TC2.4.5	350 Investment Partners LLP	453580	07/09/2006		Modification
TC2.4.5	3i Investments Plc	195262	04/04/2006		Modification
TC2.4.5	3i Investments Plc	195262	04/04/2006		Modification
TC2.4.5	3i Investments Plc	195262	11/05/2006		Modification
TC2.4.5	3i Investments Plc	195262	28/07/2006		Modification
TC2.4.5	3i Investments Plc	195262	20/09/2006		Modification
TC2.4.5	3i Investments Plc	195262	02/10/2006		Modification
TC2.4.5	3i Investments Plc	195262	14/09/2006		Modification
TC2.4.5	3i Investments Plc	195262	28/11/2006		Modification
TC2.4.5	3i Investments Plc	195262	05/12/2006		Modification
TC2.4.5	3i Investments Plc	195262	13/12/2006		Modification
TC2.4.5	3i Investments Plc	195262	07/02/2007		Modification
TC2.4.5	3i Investments Plc	195262	17/04/2007		Modification
TC2.4.5	3i Investments Plc	195262	16/02/2007		Modification
TC2.4.5	3i Investments Plc	195262	22/02/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	3i Investments Plc	195262	14/06/2007		Modification
TC2.4.5	3i Investments Plc	195262	18/07/2007		Modification
TC2.4.5	3i Investments Plc	195262	17/10/2007		Modification
TC2.4.5	3L Investment LLP	446141	23/02/2006		Modification
TC2.4.5	Aberdeen Asset Managers Limited	121891	21/08/2007		Modification
TC2.4.5	Aberdeen Emerging Capital Limited	184348	15/01/2003		Waiver
TC2.4.5	Abingworth LLP	453934	13/10/2006		Modification
TC2.4.5	Abingworth Management Ltd	122003	25/03/2004		Waiver
TC2.4.5	ACA Capital Management (U.K.) Pte. Ltd	456624	19/01/2007		Modification
TC2.4.5	Accel Partners Limited	210501	04/12/2002	31/01/2003	Modification
TC2.4.5	Accel Partners Management LLP	222503	13/09/2004		Modification
TC2.4.5	Accel Partners Management LLP	222503	09/12/2005		Modification
TC2.4.5	Acceleris Limited	207796	05/10/2006		Modification
TC2.4.5	Access Equity Management Limited	207801	14/07/2004		Modification
TC2.4.5	ACPL Investments Limited	142840	04/04/2006		Modification
TC2.4.5	Actis LLP	230585	22/11/2006		Modification
TC2.4.5	Active Partners Investments LLP	424755	13/04/2005		Modification
TC2.4.5	Active Partners Investments LLP	424755	13/04/2005		Modification
TC2.4.5	Active Partners Investments LLP	424755	09/06/2006		Modification
TC2.4.5	ADM Capital Europe LLP	454655	02/10/2006		Modification
TC2.4.5	ADM Capital Europe LLP	454655	02/10/2006		Modification
TC2.4.5	ADM Capital Europe LLP	454655	02/10/2006		Modification
TC2.4.5	AdvantHedge Capital Advisors LLP	229384	16/04/2004	16/04/2006	Modification
TC2.4.5	AHV Associates LLP	207816	16/02/2007		Modification
TC2.4.5	AIG Capital Management Limited	178746	07/05/2003		Modification
TC2.4.5	Albemarle Asset Management Ltd	226244	30/08/2006	09/05/2013	Modification
TC2.4.5	Alcentra Limited	196845	18/08/2005		Modification
TC2.4.5	Alchemy Special Opportunities LLP	452050	07/11/2006		Modification
TC2.4.5	Alchemy Special Opportunities LLP	452050	07/11/2006		Modification
TC2.4.5	Alchemy Special Opportunities LLP	452050	07/11/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Algebris Investments (UK) LLP	453736	30/08/2006		Modification
TC2.4.5	Altedge Capital (UK) Limited	208550	08/06/2006		Modification
TC2.4.5	Alternative Asset Management Ltd	450404	01/09/2006		Modification
TC2.4.5	Alvarez & Marsal Europe Limited	453893	01/11/2006		Modification
TC2.4.5	Amiya Capital LLP	429387	06/07/2005		Modification
TC2.4.5	AMP Capital Investors (UK) Limited	452656	15/12/2006		Modification
TC2.4.5	AMP Capital Investors (UK) Limited	452656	15/12/2008		Modification
TC2.4.5	Anacap Financial Partners LLP	435501	22/11/2005		Modification
TC2.4.5	Anacap Financial Partners LLP	435501	22/11/2005		Modification
TC2.4.5	Apax Partners UK Ltd	119175	12/08/2004		Modification
TC2.4.5	Apollo Management International LLP	452877	01/08/2007		Modification
TC2.4.5	Apposite Capital LLP	451609	04/07/2006		Modification
TC2.4.5	Aquarius Equity Partners Limited	222895	30/05/2006		Modification
TC2.4.5	ARC Securities Ltd	426723	18/08/2005		Modification
TC2.4.5	Arch Financial Products LLP	417495	12/04/2005		Modification
TC2.4.5	Arch Financial Products LLP	417495	12/04/2005		Modification
TC2.4.5	Arch Financial Products LLP	417495	12/04/2005		Modification
TC2.4.5	ARDIAN INVESTMENT UK LIMITED	462092	08/03/2007		Modification
TC2.4.5	ARDIAN INVESTMENT UK LIMITED	462092	08/03/2007		Modification
TC2.4.5	ARDIAN INVESTMENT UK LIMITED	462092	08/03/2007		Modification
TC2.4.5	ARDIAN INVESTMENT UK LIMITED	462092	08/03/2007		Modification
TC2.4.5	ARDIAN INVESTMENT UK LIMITED	462092	08/03/2007		Modification
TC2.4.5	Argenta Private Capital Limited	204845	21/08/2007		Modification
TC2.4.5	Argo Saint George LLP	441236	04/09/2007		Modification
TC2.4.5	Arkios Limited	207821	04/12/2002		Waiver
TC2.4.5	Arma P Limited	197237	23/05/2006		Modification
TC2.4.5	Arma Partners LLP	454270	01/08/2006		Modification
TC2.4.5	Arrowgrass Capital Partners LLP	413647	16/03/2005		Modification
TC2.4.5	Arrowgrass Capital Partners LLP	413647	16/03/2005		Waiver
TC2.4.5	Arrowgrass Capital Partners LLP	413647	06/07/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Arrowgrass Capital Partners LLP	413647	06/07/2007		Modification
TC2.4.5	Arrowgrass Capital Partners LLP	413647	06/07/2007		Modification
TC2.4.5	Arsago (UK) LLP	227744	12/03/2007		Modification
TC2.4.5	Ashburton (UK) Limited	185971	09/05/2006		Modification
TC2.4.5	Ashburton (UK) Limited	185971	09/05/2006		Modification
TC2.4.5	Ashburton (UK) Limited	185971	09/05/2006	09/05/2008	Modification
TC2.4.5	Ashburton (UK) Limited	185971	08/06/2007		Modification
TC2.4.5	Asteri Capital Ltd	458355	19/12/2006		Modification
TC2.4.5	Asteri Capital Ltd	458355	19/12/2006		Modification
TC2.4.5	Asteri Capital Ltd	458355	19/12/2006		Modification
TC2.4.5	Asteri Capital Ltd	458355	19/12/2006		Modification
TC2.4.5	Asteri Capital Ltd	458355	19/10/2006		Modification
TC2.4.5	Asteri Capital Ltd	458355	19/12/2006		Modification
TC2.4.5	Atlantic Alliance Ltd	431191	17/10/2005	17/10/2007	Waiver
TC2.4.5	Aubaine Capital Limited	463313	18/10/2007		Modification
TC2.4.5	August Equity Limited	197337	20/04/2006		Modification
TC2.4.5	August Equity Limited	197337	20/04/2006		Modification
TC2.4.5	August Equity Limited	197337	20/04/2006		Modification
TC2.4.5	August Equity Limited	197337	20/04/2006		Modification
TC2.4.5	August Equity Limited	197337	20/04/2006		Modification
TC2.4.5	August Equity LLP	458635	18/05/2007		Modification
TC2.4.5	August Equity LLP	458635	18/05/2007		Modification
TC2.4.5	August Equity LLP	458635	18/05/2007		Modification
TC2.4.5	August Equity LLP	458635	18/05/2007		Modification
TC2.4.5	Augusta & Co Limited	211883	02/11/2004		Modification
TC2.4.5	Augusta & Co Limited	211883	02/11/2004		Modification
TC2.4.5	Augusta & Co Limited	211883	02/11/2004		Modification
TC2.4.5	Augusta & Co Limited	211883	02/08/2007		Modification
TC2.4.5	Augusta & Co Limited	211883	02/08/2007		Modification
TC2.4.5	Augusta & Co Limited	211883	02/08/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Augusta & Co Limited	211883	02/08/2007		Modification
TC2.4.5	Avenue Europe Management LLP	400442	02/11/2006		Modification
TC2.4.5	Avenue Europe Management LLP	400442	10/11/2006		Modification
TC2.4.5	Avenue Europe Management LLP	400442	21/11/2006		Modification
TC2.4.5	AXA Investment Managers GS Limited	188523	25/09/2002	24/03/2003	Waiver
TC2.4.5	AXA Investment Managers GS Limited	188523	26/07/2006	30/03/2016	Modification
TC2.4.5	Axon Partners LLP	436319	26/10/2005		Modification
TC2.4.5	Babcock & Brown Investment Management Limited	197188	27/05/2005		Modification
TC2.4.5	Babcock & Brown Investment Management Limited	197188	11/07/2006		Modification
TC2.4.5	Babcock & Brown Investment Management Limited	197188	11/07/2006		Modification
TC2.4.5	Babcock & Brown Investment Management Limited	197188	27/07/2006		Modification
TC2.4.5	Babcock & Brown Investment Management Limited	197188	16/08/2006		Modification
TC2.4.5	Babcock & Brown Investment Management Limited	197188	18/04/2007		Modification
TC2.4.5	Babcock & Brown Investment Management Limited	197188	18/04/2007		Modification
TC2.4.5	Balyasny Europe Asset Management LLP	403302	15/03/2006		Modification
TC2.4.5	Banque AIG	183925	08/10/2004	31/10/2007	Modification
TC2.4.5	BARINGS (U.K.) LIMITED	194662	08/11/2006		Modification
TC2.4.5	BARINGS (U.K.) LIMITED	194662	08/11/2006		Modification
TC2.4.5	BARINGS (U.K.) LIMITED	194662	08/11/2006		Modification
TC2.4.5	Bedrock Asset Management (UK) Limited	409324	12/03/2007		Modification
TC2.4.5	Bennelong Asset Management LLP	408240	20/12/2004		Waiver
TC2.4.5	Bennelong Asset Management LLP	408240	20/12/2004		Waiver
TC2.4.5	Bennelong Asset Management LLP	408240	20/12/2004		Waiver
TC2.4.5	Bennelong Asset Management LLP	408240	20/12/2004		Waiver
TC2.4.5	Bennelong Asset Management LLP	408240	06/10/2005	06/10/2007	Modification
TC2.4.5	Bennelong Asset Management LLP	408240	22/08/2006		Modification
TC2.4.5	Bennelong Asset Management LLP	408240	30/05/2007		Modification
TC2.4.5	Benson Elliot Capital Management LLP	447150	11/08/2006	11/08/2006	Modification
TC2.4.5	Benson Elliot Capital Management LLP	447150	11/08/2006		Modification
TC2.4.5	Benson Elliot Capital Management LLP	447150	11/08/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Bhramavira Capital Partners LLP	446327	24/05/2006		Modification
TC2.4.5	Bhramavira Capital Partners LLP	446327	24/05/2006		Modification
TC2.4.5	Bhramavira Capital Partners LLP	446327	24/05/2006		Modification
TC2.4.5	Blacksquare Capital LLP	433353	19/01/2006		Modification
TC2.4.5	Blacksquare Capital LLP	433353	19/01/2006		Modification
TC2.4.5	Blenheim Advisors Limited	223965	28/06/2006		Modification
TC2.4.5	Blenheim Advisors Limited	223965	28/06/2006		Modification
TC2.4.5	Blenheim Advisors Limited	223965	28/06/2006		Modification
TC2.4.5	Blue Mountain Capital Partners (London) LLP	431877	07/03/2007	02/05/2017	Modification
TC2.4.5	BlueGem Capital Partners LLP	455296	16/12/2006		Modification
TC2.4.5	BNP Paribas Real Estate Investment Management (UK) Limited	208725	14/06/2005		Modification
TC2.4.5	BNP Paribas Real Estate Investment Management (UK) Limited	208725	14/06/2005		Modification
TC2.4.5	BNP Paribas Real Estate Investment Management (UK) Limited	208725	14/06/2005		Modification
TC2.4.5	BNY Mellon Investment Management EMEA Limited	119196	27/09/2005		Modification
TC2.4.5	BNY Mellon Investment Management EMEA Limited	119196	27/09/2005		Modification
TC2.4.5	BNY Mellon Investment Management EMEA Limited	119196	27/09/2005		Modification
TC2.4.5	BNY Mellon Investment Management EMEA Limited	119196	27/09/2005		Modification
TC2.4.5	BNY Mellon Investment Management EMEA Limited	119196	27/09/2005		Modification
TC2.4.5	BNY Mellon Investment Management EMEA Limited	119196	27/09/2005		Modification
TC2.4.5	BNY Mellon Investment Management EMEA Limited	119196	27/09/2005		Modification
TC2.4.5	BNY Mellon Investment Management EMEA Limited	119196	27/09/2005		Modification
TC2.4.5	Bourne Park Capital Limited	195914	15/01/2007		Modification
TC2.4.5	Bramdean Asset Management LLP	410624	19/06/2007		Modification
TC2.4.5	Brandon Hill Capital Limited	210414	14/03/2007		Modification
TC2.4.5	Brandon Hill Capital Limited	210414	07/03/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	15/07/2005		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	31/05/2006		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	31/05/2006		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	12/06/2006		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	16/10/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Brevan Howard Asset Management LLP	216851	12/01/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	12/01/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	12/01/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	12/01/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	15/05/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	22/06/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	16/08/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	18/09/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	28/09/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	26/09/2007		Modification
TC2.4.5	Brevan Howard Asset Management LLP	216851	28/09/2007		Modification
TC2.4.5	Bridgewell Limited	157688	15/04/2004		Modification
TC2.4.5	British Energy Trading Services Limited	208658	14/10/2004	13/10/2006	Waiver
TC2.4.5	British Energy Trading Services Limited	208658	24/10/2006	01/11/2007	Modification
TC2.4.5	British Land Investment Management Limited	196214	02/10/2007		Modification
TC2.4.5	Brockton Capital LLP	451200	06/11/2006		Modification
TC2.4.5	Bryan Garnier & Co Limited	178733	11/08/2005	24/04/2008	Modification
TC2.4.5	Bryan Garnier & Co Limited	178733	14/03/2006	24/04/2008	Modification
TC2.4.5	Bryan Garnier & Co Limited	178733	04/04/2006		Modification
TC2.4.5	Bryan Garnier & Co Limited	178733	11/06/2007		Modification
TC2.4.5	Bryan Garnier Asset Management Limited	181608	17/03/2006		Modification
TC2.4.5	Bryan Garnier Asset Management Limited	181608	17/03/2006		Modification
TC2.4.5	BTG Pactual Europe LLP	452333	23/10/2006		Modification
TC2.4.5	BTG Pactual Europe LLP	452333	23/10/2006		Modification
TC2.4.5	BTG Pactual Europe LLP	452333	23/10/2006		Modification
TC2.4.5	BTG Pactual Europe LLP	452333	23/10/2006		Modification
TC2.4.5	BTTQ LIMITED	454067	12/01/2007		Modification
TC2.4.5	BTTQ LIMITED	454067	12/01/2007		Modification
TC2.4.5	C.Czarnikow Sugar Futures Ltd	150142	14/01/2005		Modification
TC2.4.5	C.Czarnikow Sugar Futures Ltd	150142	14/01/2005		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	C.Czarnikow Sugar Futures Ltd	150142	31/01/2007		Modification
TC2.4.5	C.Czarnikow Sugar Futures Ltd	150142	31/01/2007		Modification
TC2.4.5	Cadogan Management (UK) Ltd	401028	19/01/2007		Modification
TC2.4.5	Cadogan Management (UK) Ltd	401028	23/01/2007		Modification
TC2.4.5	Cairn Capital Limited	400045	23/08/2005		Modification
TC2.4.5	Cairn Capital Limited	400045	14/05/2007		Modification
TC2.4.5	Cairn Capital Limited	400045	14/05/2007		Modification
TC2.4.5	CAL INVESTMENTS LIMITED	114008	06/07/2006		Modification
TC2.4.5	Caledon Capital Partners LLP	212979	02/05/2007		Modification
TC2.4.5	Caledon Capital Partners LLP	212979	05/06/2007		Modification
TC2.4.5	Calunius Capital LLP	466152	15/06/2007		Modification
TC2.4.5	Calunius Capital LLP	466152	15/06/2007		Modification
TC2.4.5	Cambridge Place Investment Management LLP	221361	27/08/2003	10/03/2006	Modification
TC2.4.5	Cameron Capital Limited	449783	04/08/2006		Modification
TC2.4.5	Canadian Imperial Bank of Commerce	141285	09/03/2006	09/01/2014	Modification
TC2.4.5	Canadian Imperial Bank of Commerce	141285	09/03/2006	15/01/2014	Modification
TC2.4.5	Canadian Imperial Bank of Commerce	141285	14/03/2006	14/03/2008	Modification
TC2.4.5	Canadian Imperial Bank of Commerce	141285	31/05/2006	09/01/2014	Modification
TC2.4.5	Canadian Imperial Bank of Commerce	141285	16/06/2006	09/01/2014	Modification
TC2.4.5	Canadian Imperial Bank of Commerce	141285	21/11/2006	09/01/2014	Modification
TC2.4.5	Caner Capital Limited	468736	01/10/2007		Modification
TC2.4.5	Caner Capital Limited	468736	01/10/2007	01/10/2009	Modification
TC2.4.5	Cantab Capital Partners LLP	455487	02/10/2006	02/10/2008	Modification
TC2.4.5	Cantab Capital Partners LLP	455487	02/10/2006	19/02/2010	Modification
TC2.4.5	Capital Deposit Limited	419751	03/05/2006		Modification
TC2.4.5	Capital Deposit Limited	419751	30/08/2007		Modification
TC2.4.5	Capital International Limited	119193	09/01/2007		Modification
TC2.4.5	Capital International Limited	119193	26/02/2007		Modification
TC2.4.5	Capital International Limited	119193	26/06/2007		Modification
TC2.4.5	Capital International Limited	119193	20/09/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Capitis Global Markets Limited	434012	20/01/2006		Modification
TC2.4.5	Capitis Global Markets Limited	434012	20/01/2006		Modification
TC2.4.5	Capitis Global Markets Limited	434012	07/03/2006		Modification
TC2.4.5	Capitis Global Markets Limited	434012	16/01/2007		Modification
TC2.4.5	Capitis Global Markets Limited	434012	30/11/2006		Modification
TC2.4.5	Capitis Global Markets Limited	434012	03/01/2007		Modification
TC2.4.5	Capitis Global Markets Limited	434012	03/01/2007		Modification
TC2.4.5	Capitis Global Markets Limited	434012	30/08/2007	30/08/2009	Modification
TC2.4.5	Capitis Global Markets Limited	434012	30/08/2007		Modification
TC2.4.5	Carbon Capital Markets Limited	432592	23/11/2006		Modification
TC2.4.5	Carlson Capital (UK) Limited	197483	13/04/2007		Modification
TC2.4.5	Carlton Capital Partners LLP	409184	27/11/2006		Modification
TC2.4.5	Carlton Capital Partners LLP	409184	23/01/2007		Modification
TC2.4.5	Carlton Corporate Advisory LLP	462025	02/04/2007		Modification
TC2.4.5	Carlton Corporate Services Limited	144512	28/05/2004	20/05/2005	Modification
TC2.4.5	Carlton Corporate Services Limited	144512	02/02/2005		Modification
TC2.4.5	Carlton Corporate Services Limited	144512	29/09/2005		Modification
TC2.4.5	Carna Capital Ltd	197496	07/01/2005		Modification
TC2.4.5	Casteel Capital LLP	455718	30/10/2006		Modification
TC2.4.5	Castlegrove Capital Management LLP	441149	02/02/2006		Modification
TC2.4.5	Castlegrove Capital Management LLP	441149	02/02/2006		Modification
TC2.4.5	Castlegrove Capital Management LLP	441149	02/02/2006		Modification
TC2.4.5	Castlegrove Capital Management LLP	441149	15/03/2006		Modification
TC2.4.5	Castlegrove Capital Management LLP	441149	15/03/2006		Modification
TC2.4.5	Castlegrove Capital Management LLP	441149	15/03/2006		Modification
TC2.4.5	Castlegrove Capital Management LLP	441149	23/08/2006	01/11/2007	Modification
TC2.4.5	Castlelake (UK) LLP	453419	21/09/2006		Modification
TC2.4.5	CBRE Indirect Investment Services Limited	159367	31/01/2007		Modification
TC2.4.5	CBRE Indirect Investment Services Limited	159367	31/01/2007		Modification
TC2.4.5	CBRE Indirect Investment Services Limited	159367	31/01/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	CBRE Indirect Investment Services Limited	159367	08/10/2007		Modification
TC2.4.5	CBRE Indirect Investment Services Limited	159367	27/07/2007		Modification
TC2.4.5	CECP Investment Advisors Limited	186209	31/12/2004		Modification
TC2.4.5	Centaurus Capital Limited	192798	25/05/2006		Modification
TC2.4.5	Centaurus Capital Limited	192798	25/10/2006	25/10/2008	Modification
TC2.4.5	Centaurus Capital Limited	192798	25/10/2006		Modification
TC2.4.5	Centrica Energy (Trading) Limited	232514	06/01/2005	06/01/2007	Modification
TC2.4.5	CET Capital Limited	446267	21/04/2006		Modification
TC2.4.5	CET Capital Limited	446267	21/04/2006		Modification
TC2.4.5	CET Capital Limited	446267	21/04/2006		Modification
TC2.4.5	CFC International Capital Markets, Limited	195910	28/11/2006		Modification
TC2.4.5	CFC International Capital Markets, Limited	195910	13/04/2007		Modification
TC2.4.5	CGR Capital LLP	449426	21/07/2006		Modification
TC2.4.5	CGR Capital LLP	449426	21/07/2006		Modification
TC2.4.5	CGR Capital LLP	449426	21/07/2006		Modification
TC2.4.5	Change Capital Partners LLP	217452	18/07/2006		Modification
TC2.4.5	Change Capital Partners LLP	217452	18/07/2006		Modification
TC2.4.5	Change Capital Partners LLP	217452	04/05/2007	31/10/2007	Modification
TC2.4.5	Change Capital Partners LLP	217452	04/05/2007	31/10/2007	Modification
TC2.4.5	Channel Capital Advisors LLP	462037	22/05/2007		Modification
TC2.4.5	Channel Capital Advisors LLP	462037	22/05/2007		Modification
TC2.4.5	Charles Street Securities Inc	181191	21/05/2007		Modification
TC2.4.5	Charterhouse Development Capital Ltd	122260	02/04/2003	08/09/2003	Waiver
TC2.4.5	Charterhouse General Partners (VII) Limited	122177	02/04/2003	08/09/2003	Waiver
TC2.4.5	Chaser Capital LLP	402207	11/11/2004		Waiver
TC2.4.5	Chaser Capital LLP	402207	11/11/2004		Waiver
TC2.4.5	Chatham Financial Europe Ltd	197251	16/03/2007	22/08/2008	Modification
TC2.4.5	Chatham Financial Europe Ltd	197251	16/03/2007	22/08/2008	Modification
TC2.4.5	Chelsfield Advisers LLP	455044	16/10/2006		Modification
TC2.4.5	Chelsfield Advisers LLP	455044	16/10/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Chelsfield Advisers LLP	455044	12/01/2007		Modification
TC2.4.5	Cheval Properties Limited	422772	01/10/2007		Modification
TC2.4.5	Cheval Properties Limited	422772	01/10/2007		Modification
TC2.4.5	Chevron Global Trading Limited	114076	13/01/2005	13/01/2007	Waiver
TC2.4.5	Chevron Global Trading Limited	114076	13/01/2007	13/01/2009	Modification
TC2.4.5	Chord Capital Limited	122638	10/03/2006		Modification
TC2.4.5	Chord Capital Limited	122638	28/02/2007		Modification
TC2.4.5	CIBC World Markets Plc	176515	27/06/2005	31/10/2007	Waiver
TC2.4.5	CIBC World Markets Plc	176515	09/03/2006	09/01/2014	Modification
TC2.4.5	CIBC World Markets Plc	176515	14/03/2006	14/03/2008	Modification
TC2.4.5	CIBC World Markets Plc	176515	31/05/2006	09/01/2014	Modification
TC2.4.5	CIBC World Markets Plc	176515	16/06/2006	09/01/2014	Modification
TC2.4.5	CIBC World Markets Plc	176515	21/11/2006	09/01/2014	Modification
TC2.4.5	Circadia Ventures LLP	451077	05/07/2006		Modification
TC2.4.5	Circadia Ventures LLP	451077	05/07/2006		Modification
TC2.4.5	CIT Financial Services Limited	197249	24/03/2004		Modification
TC2.4.5	CIT Financial Services Limited	197249	24/03/2004		Modification
TC2.4.5	CIT Financial Services Limited	197249	24/03/2004		Modification
TC2.4.5	Citibank, N.A.	124704	18/09/2007	29/11/2013	Modification
TC2.4.5	Citibank, N.A.	124704	18/10/2007	29/11/2013	Modification
TC2.4.5	Citibank, N.A.	124704	19/09/2007	29/11/2013	Modification
TC2.4.5	Citibank, N.A.	124704	19/09/2007	01/11/2007	Modification
TC2.4.5	Citibank, N.A.	124704	19/09/2007	01/11/2007	Modification
TC2.4.5	Citigroup Global Markets Limited	124384	18/09/2007	29/11/2013	Modification
TC2.4.5	Citigroup Global Markets Limited	124384	11/09/2007	29/11/2013	Modification
TC2.4.5	Citigroup Global Markets Limited	124384	19/09/2007	01/11/2007	Modification
TC2.4.5	Citigroup Global Markets Limited	124384	19/09/2007	01/11/2007	Modification
TC2.4.5	Citigroup Global Markets Limited	124384	19/09/2007	29/11/2013	Modification
TC2.4.5	Citigroup Global Markets Limited	124384	18/10/2007	29/11/2013	Modification
TC2.4.5	City Credit Capital (UK) Ltd	232015	02/07/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	City of London Financial Services Limited	460546	16/10/2007		Modification
TC2.4.5	Citywire Financial Publishers Ltd	222178	23/01/2007	18/12/2012	Modification
TC2.4.5	Clarkson Fund Management Limited	437862	13/10/2005	13/10/2007	Modification
TC2.4.5	Clarksons Platou Futures Limited	179391	24/10/2006		Modification
TC2.4.5	Clarksons Platou Futures Limited	179391	05/10/2006		Modification
TC2.4.5	Clarksons Platou Futures Limited	179391	24/10/2006		Modification
TC2.4.5	Clarksons Platou Futures Limited	179391	24/10/2006		Modification
TC2.4.5	Clarksons Platou Futures Limited	179391	07/12/2006		Modification
TC2.4.5	Clearbrook Capital Partners LLP	402125	23/08/2005		Modification
TC2.4.5	Clearbrook Capital Partners LLP	402125	23/08/2005		Modification
TC2.4.5	Clearbrook Capital Partners LLP	402125	03/02/2006		Modification
TC2.4.5	Close Investments Limited	148682	04/01/2007		Modification
TC2.4.5	Codex Capital Partners Limited	447549	16/06/2006		Modification
TC2.4.5	Cognetas LLP	433970	30/03/2006		Modification
TC2.4.5	Cognetas LLP	433970	30/03/2006		Modification
TC2.4.5	Comer and Farnan Pension and Insurance Consultants Ltd	118235	16/07/2003	16/07/2004	Modification
TC2.4.5	Commerzbank AG	124920	14/12/2006	31/10/2007	Modification
TC2.4.5	Compass Partners International LLP	459047	12/02/2007		Modification
TC2.4.5	Compass Partners International LLP	459047	17/01/2007		Modification
TC2.4.5	Conduit Ventures Limited	208719	20/06/2002	20/12/2002	Modification
TC2.4.5	Conduit Ventures Limited	208719	30/10/2002		Modification
TC2.4.5	Conduit Ventures Limited	208719	21/10/2004		Waiver
TC2.4.5	Conduit Ventures Limited	208719	07/06/2005		Modification
TC2.4.5	Conduit Ventures Limited	208719	07/11/2005	06/11/2007	Waiver
TC2.4.5	Conocophillips (UK) Limited	106256	03/11/2003		Waiver
TC2.4.5	Consortium Investment Management Limited	143993	27/10/2003		Waiver
TC2.4.5	Consortium Investment Management LLP	466575	01/05/2007		Modification
TC2.4.5	Continental Capital Partners Limited	184349	19/05/2005		Modification
TC2.4.5	Conversion Capital Partners Ltd	226271	18/05/2005		Modification
TC2.4.5	Cooperatieve Rabobank U.A.	171596	31/03/2006	11/09/2012	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Cooperatieve Rabobank U.A.	171596	26/06/2006	11/09/2012	Modification
TC2.4.5	Cooperatieve Rabobank U.A.	171596	11/07/2006	11/09/2012	Modification
TC2.4.5	Cooperatieve Rabobank U.A.	171596	21/02/2007	11/09/2012	Modification
TC2.4.5	Cooperatieve Rabobank U.A.	171596	15/08/2007	11/09/2012	Modification
TC2.4.5	CPM Advisers Ltd	400355	22/12/2005		Modification
TC2.4.5	CPM Advisers Ltd	400355	10/05/2006		Modification
TC2.4.5	CPM Advisers Ltd	400355	29/12/2006		Modification
TC2.4.5	CQS (UK) LLP	400496	22/12/2004		Waiver
TC2.4.5	CQS (UK) LLP	400496	22/12/2004		Waiver
TC2.4.5	CQS (UK) LLP	400496	22/12/2004		Waiver
TC2.4.5	CQS (UK) LLP	400496	22/12/2004		Waiver
TC2.4.5	CQS (UK) LLP	400496	22/12/2004		Waiver
TC2.4.5	CQS (UK) LLP	400496	22/12/2004		Waiver
TC2.4.5	CQS (UK) LLP	400496	22/12/2004		Waiver
TC2.4.5	CQS (UK) LLP	400496	22/12/2004		Waiver
TC2.4.5	CQS (UK) LLP	400496	06/09/2005		Modification
TC2.4.5	CQS (UK) LLP	400496	06/09/2005		Modification
TC2.4.5	CQS (UK) LLP	400496	06/09/2005		Modification
TC2.4.5	CQS (UK) LLP	400496	06/09/2005		Modification
TC2.4.5	CQS (UK) LLP	400496	06/09/2005		Modification
TC2.4.5	CQS (UK) LLP	400496	06/09/2005		Modification
TC2.4.5	CQS (UK) LLP	400496	16/09/2005		Modification
TC2.4.5	CQS (UK) LLP	400496	16/09/2005		Modification
TC2.4.5	CQS (UK) LLP	400496	29/06/2006		Modification
TC2.4.5	CQS (UK) LLP	400496	16/08/2006		Modification
TC2.4.5	CQS (UK) LLP	400496	18/09/2006		Modification
TC2.4.5	CQS (UK) LLP	400496	29/11/2006		Modification
TC2.4.5	CQS (UK) LLP	400496	23/01/2007		Modification
TC2.4.5	CQS (UK) LLP	400496	29/03/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	CQS (UK) LLP	400496	26/04/2007		Modification
TC2.4.5	CQS (UK) LLP	400496	22/05/2007		Modification
TC2.4.5	CQS (UK) LLP	400496	11/06/2007		Modification
TC2.4.5	CQS (UK) LLP	400496	04/09/2007	01/11/2007	Modification
TC2.4.5	CQS (UK) LLP	400496	12/09/2007		Modification
TC2.4.5	CQS (UK) LLP	400496	04/10/2007		Modification
TC2.4.5	CQS Asset Management Ltd	408091	07/02/2006		Modification
TC2.4.5	CQS Asset Management Ltd	408091	03/11/2006		Modification
TC2.4.5	CQS Asset Management Ltd	408091	17/08/2007		Modification
TC2.4.5	CQS Investment Management Limited	459903	12/04/2007		Modification
TC2.4.5	CQS Investment Management Limited	459903	19/07/2007		Modification
TC2.4.5	C-QUADRAT Asset Management (UK) LLP	416478	06/05/2005		Modification
TC2.4.5	C-QUADRAT Asset Management (UK) LLP	416478	06/05/2005		Modification
TC2.4.5	C-QUADRAT Asset Management (UK) LLP	416478	06/05/2005		Modification
TC2.4.5	CR Global LLP	451618	01/09/2006		Modification
TC2.4.5	Credit Agricole Corporate and Investment Bank	124344	02/12/2005	31/10/2007	Modification
TC2.4.5	Crestbridge Operator Services Limited	438890	16/10/2006		Modification
TC2.4.5	Crestbridge Property Partnerships Ltd	146801	16/10/2006		Modification
TC2.4.5	Currency Partners LP	197289	20/09/2006		Modification
TC2.4.5	Cyrus Capital Partners Europe LLP	413309	14/02/2007		Modification
TC2.4.5	Cyrus Capital Partners Europe LLP	413309	14/02/2007		Modification
TC2.4.5	Cyrus Capital Partners Europe LLP	413309	13/04/2007		Modification
TC2.4.5	Daiwa Asset Management (Europe) Ltd	122113	23/12/2003		Modification
TC2.4.5	Dartmouth Capital Partners LLP	427309	15/04/2005		Modification
TC2.4.5	Darwin Private Equity LLP	459344	27/02/2007		Modification
TC2.4.5	Darwin Private Equity LLP	459344	27/02/2007		Modification
TC2.4.5	Darwin Private Equity LLP	459344	27/02/2007		Modification
TC2.4.5	Darwin Private Equity LLP	459344	09/07/2007		Modification
TC2.4.5	Dawnay, Day Investment Banking Limited	223080	30/05/2006		Modification
TC2.4.5	Dawnay, Day Investment Banking Limited	223080	30/05/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Dawnay, Day Investment Banking Limited	223080	30/05/2006		Modification
TC2.4.5	Dawnay, Day Investment Banking Limited	223080	13/06/2006		Modification
TC2.4.5	Dawnay, Day Investment Banking Limited	223080	19/06/2006	19/06/2008	Modification
TC2.4.5	Dawnay, Day Investment Banking Limited	223080	01/05/2007		Modification
TC2.4.5	DBS Vickers Securities UK Ltd	124899	10/07/2003	09/07/2004	Waiver
TC2.4.5	DeaconCapital Asset Management LLP	470238	17/09/2007		Modification
TC2.4.5	DeaconCapital Asset Management LLP	470238	17/09/2007		Modification
TC2.4.5	Denholm Hall Capital Markets Limited	191905	07/02/2007		Modification
TC2.4.5	Deutsche Bank AG	150018	30/03/2007	30/03/2009	Modification
TC2.4.5	Development Company for Israel (International) Limited	135266	03/05/2006		Modification
TC2.4.5	DG Partners LLP	218913	20/10/2006	09/02/2011	Modification
TC2.4.5	Dickson Minto	111421	27/09/2006		Modification
TC2.4.5	Dimensional Fund Advisors Ltd	150100	12/08/2005		Modification
TC2.4.5	Direct Sharedeal Ltd	188753	12/09/2006	19/01/2009	Modification
TC2.4.5	DnB NOR Asset Management (UK) Ltd	195551	12/12/2006		Modification
TC2.4.5	Doric Asset Finance Limited	446611	01/03/2006		Modification
TC2.4.5	Doughty Hanson & Co Managers Ltd	172381	23/07/2007		Modification
TC2.4.5	Doughty Hanson & Co Technology Limited	191854	23/07/2007		Modification
TC2.4.5	DSGVC Limited	403454	13/07/2005		Modification
TC2.4.5	DTZ Corporate Finance Limited	139135	07/11/2006		Modification
TC2.4.5	DTZ Corporate Finance Limited	139135	07/02/2007		Modification
TC2.4.5	DTZ Corporate Finance Limited	139135	07/02/2007		Modification
TC2.4.5	DTZ Corporate Finance Limited	139135	19/07/2007		Modification
TC2.4.5	DTZ Investment Management Limited	416900	31/05/2005		Modification
TC2.4.5	DTZ Investment Management Limited	416900	31/05/2005		Modification
TC2.4.5	DTZ Investment Management Limited	416900	18/10/2006		Modification
TC2.4.5	DTZ Investment Management Limited	416900	14/11/2006		Modification
TC2.4.5	DTZ Investment Management Limited	416900	17/08/2007		Modification
TC2.4.5	Duet Asset Management Limited	191714	20/10/2004		Modification
TC2.4.5	Duet Asset Management Limited	191714	29/03/2005		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Duet Asset Management Limited	191714	23/05/2005		Modification
TC2.4.5	Duet Asset Management Limited	191714	17/08/2005		Modification
TC2.4.5	Duet Private Equity Limited	208161	09/04/2003		Modification
TC2.4.5	E.ON UK Trading Limited	197501	16/04/2002	01/12/2003	Modification
TC2.4.5	E.ON UK Trading Limited	197501	26/01/2004	30/11/2005	Waiver
TC2.4.5	E.ON UK Trading Limited	197501	01/12/2005	30/11/2007	Waiver
TC2.4.5	Echelon Wealth Management Ltd	448757	12/09/2007		Modification
TC2.4.5	ECM Asset Management Limited	190608	13/07/2007		Modification
TC2.4.5	EDF Trading Markets Limited	197427	16/04/2002	01/12/2003	Modification
TC2.4.5	EDF Trading Markets Limited	197427	11/12/2003		Waiver
TC2.4.5	Edge Investments Ltd	455446	31/10/2006		Modification
TC2.4.5	Edge Investments Ltd	455446	09/08/2007		Modification
TC2.4.5	Edge Investments Ltd	455446	09/08/2007		Modification
TC2.4.5	Edinburgh Fund Managers Plc	119220	21/08/2007		Modification
TC2.4.5	EFP Capital Management LLP	465644	07/06/2007		Modification
TC2.4.5	EFP Capital Management LLP	465644	06/07/2007		Modification
TC2.4.5	EFP Capital Management LLP	465644	07/06/2007		Modification
TC2.4.5	Ellerston Capital (Europe) Limited	463169	16/03/2007		Modification
TC2.4.5	Energy Fund Management Ltd	415046	29/06/2005		Waiver
TC2.4.5	Energy Sales and Trading Limited	415688	22/03/2005	21/03/2007	Modification
TC2.4.5	Enterprise Equity Fund Management (NI) Ltd	450642	02/10/2006		Modification
TC2.4.5	EP Private Equity Limited	143356	12/11/2004		Waiver
TC2.4.5	EP Private Equity Limited	143356	22/06/2006		Modification
TC2.4.5	Epiris Managers LLP	455358	02/10/2006		Modification
TC2.4.5	Epiris Managers LLP	455358	17/01/2007		Modification
TC2.4.5	Epi-V LLP	467842	26/07/2007		Modification
TC2.4.5	Epi-V LLP	467842	23/07/2007		Modification
TC2.4.5	Epi-V LLP	467842	23/07/2007		Modification
TC2.4.5	Epi-V LLP	467842	23/07/2007		Modification
TC2.4.5	Epi-V LLP	467842	23/07/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Equity Ventures Limited	146043	05/02/2007		Modification
TC2.4.5	Equity Ventures Limited	146043	05/02/2007		Modification
TC2.4.5	Ethemba Capital LLP	457265	15/08/2007		Modification
TC2.4.5	European Capital Financial Services Ltd	447079	25/08/2006		Modification
TC2.4.5	European Capital Financial Services Ltd	447079	25/08/2006		Modification
TC2.4.5	European Capital Financial Services Ltd	447079	25/08/2006		Modification
TC2.4.5	European Capital Financial Services Ltd	447079	14/09/2006	18/09/2008	Modification
TC2.4.5	European Capital Financial Services Ltd	447079	22/11/2006	18/09/2008	Modification
TC2.4.5	European Co-investment Partners LLP	435443	01/11/2005	01/11/2007	Modification
TC2.4.5	EV PRIVATE EQUITY LTD	452116	20/04/2007		Modification
TC2.4.5	Evolution Markets Limited	224510	04/03/2005	04/03/2007	Modification
TC2.4.5	Exponent Private Equity LLP	231527	19/02/2007		Modification
TC2.4.5	Exponent Private Equity LLP	231527	19/02/2007		Modification
TC2.4.5	Farley & Thompson LLP	461601	09/07/2007		Modification
TC2.4.5	Farley & Thompson LLP	461601	09/07/2007		Modification
TC2.4.5	Farley & Thompson LLP	461601	09/07/2007		Modification
TC2.4.5	Fenician Capital Management LLP	417507	07/07/2005		Modification
TC2.4.5	Ferox Capital Management Limited	191950	26/03/2003		Modification
TC2.4.5	Ferranti Capital Ltd	449069	11/12/2006		Modification
TC2.4.5	Ferranti Capital Ltd	449069	11/12/2006		Modification
TC2.4.5	Fiera Capital (UK) Limited	172999	24/11/2006		Modification
TC2.4.5	FIM Services Limited	138889	06/06/2005		Waiver
TC2.4.5	Finisterre Capital LLP	219963	15/02/2006	13/08/2013	Modification
TC2.4.5	Firecrest Hambro Limited	221589	26/06/2003	25/12/2003	Modification
TC2.4.5	Firecrest Hambro Limited	221589	02/10/2003		Waiver
TC2.4.5	First Avenue Partners LLP	453653	17/07/2007		Modification
TC2.4.5	First Avenue Partners LLP	453653	17/07/2007		Modification
TC2.4.5	First Avenue Partners LLP	453653	04/07/2007		Modification
TC2.4.5	First Avenue Partners LLP	453653	17/07/2007		Modification
TC2.4.5	First Capital Corporation Limited	192132	28/02/2005		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Fischer Francis Trees & Watts	144031	13/06/2006		Modification
TC2.4.5	Fletcher King Investment Management Plc	454571	18/09/2006		Modification
TC2.4.5	Fletcher King Investment Management Plc	454571	18/09/2006		Modification
TC2.4.5	Former Management LLP	470632	10/09/2007		Modification
TC2.4.5	Former Management LLP	470632	10/09/2007		Modification
TC2.4.5	Former Management LLP	470632	10/09/2007		Modification
TC2.4.5	Former Management LLP	470632	10/09/2007		Modification
TC2.4.5	Forsyth Partners (Europe) Limited	461530	18/07/2007		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	03/05/2006		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	26/05/2006		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	26/05/2006		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	26/05/2006		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	26/05/2006		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	14/09/2006		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	14/09/2006		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	15/12/2006		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	17/04/2007		Modification
TC2.4.5	Fortis Investment Management Belgium	217676	30/01/2007		Modification
TC2.4.5	Forum Partners Europe (UK) LLP	464560	06/07/2007		Modification
TC2.4.5	Freeman & Co International LLP	455973	02/10/2006		Modification
TC2.4.5	Fulcrum Asset Management LLP	230683	30/12/2004		Modification
TC2.4.5	Fulcrum Asset Management LLP	230683	18/02/2005		Modification
TC2.4.5	Fulcrum Asset Management LLP	230683	16/03/2005	16/03/2007	Modification
TC2.4.5	Fulcrum Asset Management LLP	230683	05/05/2005		Modification
TC2.4.5	Fulcrum Asset Management LLP	230683	16/11/2005	16/11/2007	Modification
TC2.4.5	Gambit Corporate Finance	217536	03/03/2003		Waiver
TC2.4.5	Gandhara Advisors Europe LLP	415902	14/09/2006		Modification
TC2.4.5	Gatko Partners LLP	425726	03/03/2005		Modification
TC2.4.5	GE Capital Limited	194522	09/08/2004	09/08/2014	Modification
TC2.4.5	Gemini Oil & Gas Advisors LLP	434321	01/09/2005		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Gemini Oil & Gas Advisors LLP	434321	01/09/2005		Modification
TC2.4.5	GGK Investments Limited	441075	09/08/2006		Modification
TC2.4.5	GGK Investments Limited	441075	09/08/2006		Modification
TC2.4.5	GHK Asset Management Limited	208675	03/03/2005		Modification
TC2.4.5	GLG Partners LP	186093	12/12/2006		Modification
TC2.4.5	Global Leisure Partners LLP	400865	27/06/2006		Modification
TC2.4.5	Globalfx.Com Limited	426092	06/01/2006		Modification
TC2.4.5	GLS Capital UK LLP	218933	15/06/2007		Modification
TC2.4.5	GML Capital LLP	469093	31/07/2007		Modification
TC2.4.5	GML Capital LLP	469093	31/07/2007		Modification
TC2.4.5	GML Capital LLP	469093	31/07/2007		Modification
TC2.4.5	GML Capital LLP	469093	31/07/2007		Modification
TC2.4.5	GML International Limited	178736	10/05/2006		Modification
TC2.4.5	GML International Limited	178736	01/06/2007		Modification
TC2.4.5	GML International Limited	178736	22/05/2007		Modification
TC2.4.5	GML International Limited	178736	01/06/2007		Modification
TC2.4.5	GO Investment Partners LLP	430278	12/07/2006		Modification
TC2.4.5	GoldenTree Asset Management UK LLP	433066	04/01/2006		Waiver
TC2.4.5	GoldenTree Asset Management UK LLP	433066	25/05/2007		Modification
TC2.4.5	GoldenTree Asset Management UK LLP	433066	29/05/2007		Modification
TC2.4.5	GoldenTree Asset Management UK LLP	433066	25/05/2007		Modification
TC2.4.5	GPT HALVERTON FINANCIAL SERVICES LIMITED	455333	02/01/2007	30/05/2008	Modification
TC2.4.5	GPT HALVERTON FINANCIAL SERVICES LIMITED	455333	02/01/2007	30/05/2008	Modification
TC2.4.5	Grail Partners LLP	441358	27/04/2006		Modification
TC2.4.5	Grail Partners LLP	441358	15/03/2007		Modification
TC2.4.5	GreenBay Investments LLP	461429	03/05/2007		Modification
TC2.4.5	GreenBay Investments LLP	461429	03/05/2007	03/05/2007	Modification
TC2.4.5	Greenhill Cogent Europe, LLP	446654	10/07/2006		Modification
TC2.4.5	Greenhill Cogent Europe, LLP	446654	22/06/2006		Modification
TC2.4.5	Greysrike Capital LLP	450317	01/11/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Greysrike Capital LLP	450317	01/11/2006		Modification
TC2.4.5	Grosvenor Financial Asset Management Limited	451634	13/11/2006		Modification
TC2.4.5	Grosvenor Financial Asset Management Limited	451634	13/11/2006		Modification
TC2.4.5	Grove International Partners (UK) LLP	402685	16/05/2006		Modification
TC2.4.5	GSA Capital Partners LLP	409768	26/10/2006		Modification
TC2.4.5	GSA Capital Partners LLP	409768	26/03/2007		Modification
TC2.4.5	GSA Capital Partners LLP	409768	23/03/2007		Modification
TC2.4.5	GVQ Investment Management Limited	220997	30/03/2004		Modification
TC2.4.5	H.I.G European Capital Partners LLP	462404	20/09/2007		Modification
TC2.4.5	H2O Capital Limited	460646	14/05/2007		Modification
TC2.4.5	Hamilton Lane (UK) Ltd	220069	01/01/2005		Modification
TC2.4.5	Hamilton Lane (UK) Ltd	220069	11/09/2007		Modification
TC2.4.5	Hampstead Capital LLP	462047	27/03/2007		Modification
TC2.4.5	Hanover Square Capital (UK) Limited	211690	12/12/2002	12/12/2004	Modification
TC2.4.5	Hartree Partners (UK) Limited	187369	11/04/2006	01/11/2007	Modification
TC2.4.5	Hartree Partners Advisory Services U.K. Limited	207789	12/10/2004	11/10/2006	Modification
TC2.4.5	Hartree Partners Advisory Services U.K. Limited	207789	13/10/2006	01/11/2007	Waiver
TC2.4.5	Hasan Financial Corporation Limited	184919	19/07/2005		Modification
TC2.4.5	Hay Hill Wealth Management Limited	453682	10/08/2006		Modification
TC2.4.5	Haywood Securities (UK) Ltd	416247	24/05/2005		Modification
TC2.4.5	Haywood Securities (UK) Ltd	416247	19/03/2007		Modification
TC2.4.5	Hazel Capital LLP	468385	24/08/2007		Modification
TC2.4.5	HBK Investment Management LLP	417955	07/09/2005		Modification
TC2.4.5	Helios Investment Partners LLP	462967	08/05/2007		Modification
TC2.4.5	Helix Property Advisors Limited	462478	01/10/2007		Modification
TC2.4.5	Helix Property Advisors Limited	462478	01/10/2007		Modification
TC2.4.5	Henderson Global Investors Limited	121857	11/08/2004		Modification
TC2.4.5	Henderson Global Investors Limited	121857	18/04/2005		Modification
TC2.4.5	Heptagon Capital LLP	403304	28/07/2005		Modification
TC2.4.5	Heptagon Capital LLP	403304	28/07/2005		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Heptagon Capital LLP	403304	28/07/2005		Modification
TC2.4.5	Heptagon Capital LLP	403304	20/03/2006		Modification
TC2.4.5	Hermitage Capital LLP	465561	21/05/2007		Modification
TC2.4.5	Hermitage Capital LLP	465561	21/05/2007		Modification
TC2.4.5	Hermitage Capital Management (UK) Limited	452940	21/11/2006	21/11/2008	Modification
TC2.4.5	Hermitage Capital Management (UK) Limited	452940	21/11/2006		Modification
TC2.4.5	Hewitt Associates Financial Services Limited	141379	11/09/2007		Modification
TC2.4.5	Hewitt Risk Management Services Limited	459481	04/10/2007	31/10/2007	Modification
TC2.4.5	Hoegh Capital Partners Limited	148680	27/06/2007		Modification
TC2.4.5	Hoegh Capital Partners Limited	148680	27/06/2007		Modification
TC2.4.5	Hollyport Capital LLP	451295	01/10/2006		Modification
TC2.4.5	Hollyport Capital LLP	451295	01/10/2006		Modification
TC2.4.5	Hollyport Capital LLP	451295	01/10/2006		Modification
TC2.4.5	Horizon Capital LLP	461091	09/03/2007		Modification
TC2.4.5	Horizon Capital LLP	461091	09/03/2007		Modification
TC2.4.5	Houlihan Lokey (Corporate Finance) Ltd	124549	29/12/2003		Waiver
TC2.4.5	Houlihan Lokey (Europe) Limited	208153	27/10/2005		Modification
TC2.4.5	Houlihan Lokey (Europe) Limited	208153	16/05/2007		Modification
TC2.4.5	HSBC Bank Plc	114216	30/05/2003	31/07/2018	Modification
TC2.4.5	HSBC Bank Plc	114216	11/08/2004	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	25/01/2005	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	10/05/2005	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	02/12/2005	01/12/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	10/01/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	10/01/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	12/01/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	12/01/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	14/02/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	22/02/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	24/03/2006	31/10/2007	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	HSBC Bank Plc	114216	26/04/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	30/05/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	14/06/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	14/06/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	28/06/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	12/09/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	03/05/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	07/09/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	20/11/2006	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	26/03/2007	31/10/2007	Modification
TC2.4.5	HSBC Bank Plc	114216	16/02/2007	31/10/2007	Modification
TC2.4.5	IBIS Capital Management LLP	451961	06/09/2006	31/10/2007	Modification
TC2.4.5	IBIS Capital Management LLP	451961	06/09/2006		Modification
TC2.4.5	IBIS Capital Management LLP	451961	01/03/2007		Modification
TC2.4.5	ICP General Partner Limited	204942	10/06/2005		Modification
TC2.4.5	Ignis Investment Management Ltd	454464	12/01/2007		Modification
TC2.4.5	Ignis Investment Management Ltd	454464	12/01/2007		Modification
TC2.4.5	Ilex Asset Management (UK) LLP	227785	12/07/2005		Modification
TC2.4.5	Independent Minds Limited	196485	12/02/2003		Waiver
TC2.4.5	Index Venture Management Limited	461750	16/02/2007		Modification
TC2.4.5	Indicus Advisors LLP	454757	09/10/2006		Modification
TC2.4.5	Indicus Advisors LLP	454757	09/10/2006		Modification
TC2.4.5	Indigo Capital LLP	466760	02/07/2007		Modification
TC2.4.5	Indigo Capital Partners Limited	190610	10/08/2005		Modification
TC2.4.5	Inenco Energy Trading Limited	468425	01/10/2007	01/11/2007	Waiver
TC2.4.5	Inflection Point Investments LLP	465103	02/07/2007	16/10/2017	Modification
TC2.4.5	ING Bank N.V.	124940	12/07/2007	31/10/2007	Modification
TC2.4.5	Intermediate Capital Group Plc	143087	29/03/2006		Modification
TC2.4.5	Intermediate Capital Group Plc	143087	29/03/2006		Modification
TC2.4.5	Intermediate Capital Group Plc	143087	29/03/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Kinabalu Financial Products LLP	464909	01/08/2007		Modification
TC2.4.5	Kinabalu Financial Products LLP	464909	01/08/2007		Modification
TC2.4.5	Kinabalu Financial Solutions Limited	224940	16/08/2005		Modification
TC2.4.5	Kinabalu Financial Solutions Limited	224940	21/07/2006		Modification
TC2.4.5	King Sturge Financial Services Limited	191610	13/07/2006		Modification
TC2.4.5	King Sturge Financial Services Limited	191610	02/08/2006		Modification
TC2.4.5	Kings Park Capital LLP	470652	01/10/2007		Modification
TC2.4.5	Kings Park Capital LLP	470652	01/10/2007		Modification
TC2.4.5	Kings Park Capital LLP	470652	01/10/2007		Modification
TC2.4.5	Kinmont Limited	188821	18/06/2007	01/11/2007	Modification
TC2.4.5	Knight Frank Corporate Finance Limited	139141	25/05/2006		Modification
TC2.4.5	Knight Frank Corporate Finance Limited	139141	25/05/2006		Modification
TC2.4.5	Knight Frank Corporate Finance Limited	139141	29/06/2006		Modification
TC2.4.5	Knight Frank Investment Management LLP	439995	21/08/2007		Modification
TC2.4.5	Knight Frank Investment Management LLP	439995	21/08/2007		Modification
TC2.4.5	Knox D'Arcy Investment Management Limited	185178	12/05/2006		Modification
TC2.4.5	Knox D'Arcy Investment Management Limited	185178	12/05/2006		Modification
TC2.4.5	Knox D'Arcy Investment Management Limited	185178	06/07/2006		Modification
TC2.4.5	Kona Partners LLP	402431	07/02/2005	07/02/2010	Modification
TC2.4.5	Korral Partners Limited	459944	31/01/2007	29/01/2008	Modification
TC2.4.5	Korral Partners Limited	459944	31/01/2007	25/02/2008	Modification
TC2.4.5	La Rochefoucauld & Sons Limited	213056	17/09/2004		Modification
TC2.4.5	Langholm Capital LLP	209968	13/08/2002	13/08/2005	Waiver
TC2.4.5	LaSalle Investment Management	179466	07/09/2005		Modification
TC2.4.5	LaSalle Investment Management	179466	27/09/2006		Modification
TC2.4.5	LaSalle Investment Management	179466	16/11/2006		Modification
TC2.4.5	LaSalle Investment Management	179466	20/12/2006		Modification
TC2.4.5	LaSalle Investment Management	179466	16/11/2006		Modification
TC2.4.5	Lathe Capital Partners Ltd	409852	03/02/2005		Modification
TC2.4.5	Laven Advisors LLP	447282	28/04/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	LENLEASE REAL ESTATE INVESTMENTS (EUROPE) LIMITED	189452	10/07/2007		Modification
TC2.4.5	Leopard Rock Capital Partners Limited	195596	17/02/2006		Modification
TC2.4.5	LF Real Estate Partners International UK Finance Limited	225360	25/05/2006		Modification
TC2.4.5	LGIM Real Assets (Operator) Limited	447041	16/06/2006		Modification
TC2.4.5	LGT Capital Partners (U.K.) Limited	448896	19/06/2006		Modification
TC2.4.5	LGT Capital Partners (U.K.) Limited	448896	12/09/2006		Modification
TC2.4.5	LGV Capital Limited	121912	20/04/2005		Modification
TC2.4.5	LGV Capital Limited	121912	04/09/2006		Modification
TC2.4.5	LGV Capital Limited	121912	10/11/2006		Modification
TC2.4.5	Liberum Capital Limited	465050	08/08/2007	14/05/2013	Modification
TC2.4.5	Liberum Capital Limited	465050	03/09/2007	14/05/2013	Modification
TC2.4.5	Liberum Capital Limited	465050	08/08/2007	14/05/2013	Modification
TC2.4.5	Lime Rock Management LLP	220517	01/03/2005		Modification
TC2.4.5	Lion Capital LLP	401760	19/06/2006		Modification
TC2.4.5	Lion Capital LLP	401760	19/06/2006		Modification
TC2.4.5	Lion Capital LLP	401760	19/06/2006		Modification
TC2.4.5	LIPC Limited	184455	23/05/2006		Modification
TC2.4.5	Lite Financial Limited	232207	07/06/2006		Modification
TC2.4.5	Lite Financial Limited	232207	07/06/2006		Modification
TC2.4.5	Liverpool Victoria Asset Management Limited	185399	02/05/2003		Modification
TC2.4.5	Livingbridge EP LLP	429087	19/12/2005		Modification
TC2.4.5	Lloyds Bank PLC	119278	19/09/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	19/09/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	19/09/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	19/09/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	19/09/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	19/09/2006		Modification
TC2.4.5	Lloyds Bank PLC	119278	19/09/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/10/2007	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	14/12/2008	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/12/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	14/12/2006	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	30/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	29/05/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	30/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	29/05/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	29/05/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	29/05/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	29/05/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	15/02/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	06/07/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	06/07/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	06/07/2007	30/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	01/10/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	06/07/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	01/10/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	06/07/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	06/07/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	16/08/2007		Modification
TC2.4.5	Lloyds Bank PLC	119278	01/10/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	06/07/2007	31/10/2007	Modification
TC2.4.5	Lloyds Bank PLC	119278	17/08/2007	31/10/2007	Modification
TC2.4.5	London Exchange Group Limited	450224	22/06/2006	21/03/2012	Modification
TC2.4.5	Longbow Capital LLP	402753	17/02/2005		Waiver
TC2.4.5	Longbow Capital LLP	402753	23/09/2005		Modification
TC2.4.5	Longbow Capital LLP	402753	15/03/2006		Modification
TC2.4.5	Longbow Capital LLP	402753	15/03/2006		Modification
TC2.4.5	Lord North Street Limited	189174	27/06/2006	09/05/2018	Modification
TC2.4.5	Louis Capital Markets UK LLP	225544	14/07/2004		Modification
TC2.4.5	Louis Capital Markets UK LLP	225544	13/06/2007		Modification
TC2.4.5	Louis Capital Markets UK LLP	225544	25/06/2007		Modification
TC2.4.5	LumX Asset Management (U.K.) Limited	195960	19/07/2002		Waiver
TC2.4.5	Lusight Ltd	230120	08/06/2006		Modification
TC2.4.5	Lusight Ltd	230120	08/06/2006		Modification
TC2.4.5	Lusight Ltd	230120	08/06/2006		Modification
TC2.4.5	Lusight Ltd	230120	08/06/2006		Modification
TC2.4.5	Lusight Ltd	230120	08/06/2006		Modification
TC2.4.5	Lyceum Capital Limited	189459	30/06/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Lyceum Capital Limited	189459	30/06/2006		Modification
TC2.4.5	Lyxor Asset Management UK LLP	435658	05/12/2005		Modification
TC2.4.5	Lyxor Asset Management UK LLP	435658	05/12/2005		Modification
TC2.4.5	M&G Investment Management Limited	119328	24/08/2006	13/04/2015	Modification
TC2.4.5	M. Horn & Co. Ltd	438887	12/04/2007	11/04/2009	Waiver
TC2.4.5	M2M Management Ltd	436187	29/11/2005		Modification
TC2.4.5	M3 Capital Partners Limited	185900	01/11/2006		Modification
TC2.4.5	M3 Capital Partners Limited	185900	01/11/2006		Modification
TC2.4.5	M3 Capital Partners Limited	185900	26/04/2007		Modification
TC2.4.5	Magnetar Financial (UK) LLP	447225	04/07/2007		Modification
TC2.4.5	Mansford Capital Limited	221138	11/04/2006		Modification
TC2.4.5	Mansford Capital Limited	221138	11/04/2006		Modification
TC2.4.5	Mansford Capital Limited	221138	11/04/2006		Modification
TC2.4.5	Mark Capital LLP	208635	15/05/2002		Modification
TC2.4.5	Marwyn Capital LLP	440146	22/08/2007		Modification
TC2.4.5	Maze Hill Capital LLP	453226	02/10/2006		Modification
TC2.4.5	Mentum LLP	436248	31/10/2006		Modification
TC2.4.5	Merebis Capital Management LLP	429535	07/02/2006		Modification
TC2.4.5	Merebis Capital Management LLP	429535	07/02/2006		Modification
TC2.4.5	Merebis Capital Management LLP	429535	07/02/2006	26/11/2007	Modification
TC2.4.5	Metropol (UK) Limited	191231	10/08/2006		Modification
TC2.4.5	MG Global Investment Limited	191470	08/06/2005	08/06/2007	Modification
TC2.4.5	Mid Europa Partners LLP	425836	15/07/2005	15/07/2007	Modification
TC2.4.5	Mill Finance Ltd	456593	24/05/2007		Modification
TC2.4.5	Mill Finance Ltd	456593	24/05/2007		Modification
TC2.4.5	Mill Finance Ltd	456593	24/05/2007		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	20/02/2006		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	20/02/2006		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	20/02/2006		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	20/02/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Millennium Capital Partners LLP	439327	05/07/2006		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	06/07/2006		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	21/07/2006		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	19/02/2007		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	30/04/2007		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	02/08/2007		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	18/06/2007		Modification
TC2.4.5	Millennium Capital Partners LLP	439327	10/07/2007		Modification
TC2.4.5	Millennium Global Investments Limited	171039	08/11/2006		Modification
TC2.4.5	Mirabella Financial Services LLP	415559	07/03/2005		Modification
TC2.4.5	Mirabella Financial Services LLP	415559	18/05/2005		Modification
TC2.4.5	Mirabella Financial Services LLP	415559	13/06/2005		Modification
TC2.4.5	Mirabella Financial Services LLP	415559	22/03/2007		Modification
TC2.4.5	Mitchell Charlesworth	102046	24/02/2004		Waiver
TC2.4.5	Mithras Capital Partners LLP	450477	24/07/2007		Modification
TC2.4.5	Mitsubishi UFJ Trust International Limited	124624	01/06/2007		Modification
TC2.4.5	Momentum Global Investment Management Limited	232357	03/05/2005		Modification
TC2.4.5	Mondrian Investment Partners Limited	149507	18/07/2006		Modification
TC2.4.5	Montrica Investment Management LLP	451175	03/07/2006		Modification
TC2.4.5	Montrica Investment Management LLP	451175	03/07/2006		Modification
TC2.4.5	Monument Group (UK) Ltd	436291	01/08/2007		Modification
TC2.4.5	Monument Group (UK) Ltd	436291	01/08/2007		Modification
TC2.4.5	Moore Europe Capital Management, LLP	459504	01/02/2007		Modification
TC2.4.5	Moore Europe Capital Management, LLP	459504	02/01/2007		Modification
TC2.4.5	Moore Europe Capital Management, LLP	459504	01/02/2007		Modification
TC2.4.5	Moore Europe Capital Management, LLP	459504	03/09/2007		Modification
TC2.4.5	MSS Capital Limited	197007	15/03/2007		Modification
TC2.4.5	MTM Capital Partners Ltd	403485	05/07/2006		Modification
TC2.4.5	MTM Capital Partners Ltd	403485	05/07/2006		Modification
TC2.4.5	MUFG Securities EMEA plc	124512	19/01/2004	31/10/2007	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Mulier Capital Ltd	401309	02/08/2007		Modification
TC2.4.5	Mulvaney Capital Management Limited	192017	04/08/2006		Modification
TC2.4.5	Muse Capital LLP	217390	23/08/2007		Modification
TC2.4.5	Musst Investments LLP	461287	01/10/2007		Modification
TC2.4.5	MxP Partners LLP	460465	25/01/2007		Modification
TC2.4.5	N M Rothschild & Sons Ltd	124451	05/07/2006	31/10/2007	Modification
TC2.4.5	NCM Management (UK) Limited	145276	30/04/2007		Modification
TC2.4.5	Neste Oil Limited	106128	29/04/2005	29/04/2007	Waiver
TC2.4.5	New College Capital Ltd	430986	15/08/2005		Modification
TC2.4.5	New Europe Advisers Limited	463866	23/04/2007		Modification
TC2.4.5	New Europe Capital Limited	225155	20/01/2004	20/01/2007	Modification
TC2.4.5	Newman Ragazzi and Company Limited	185903	29/01/2003		Modification
TC2.4.5	Newmarket Capital Limited	312373	30/05/2007		Modification
TC2.4.5	Newmarket Capital Limited	312373	30/05/2007		Modification
TC2.4.5	Newmarket Capital Limited	312373	30/05/2007		Modification
TC2.4.5	Next Wave Partners LLP	458232	04/12/2006		Modification
TC2.4.5	Nomura International Plc	124422	13/06/2006	31/10/2007	Modification
TC2.4.5	Noraminvest UK Limited	467428	12/06/2007		Modification
TC2.4.5	North of South Capital LLP	403114	18/05/2006	01/01/2010	Modification
TC2.4.5	North Square Blue Oak Limited	229026	26/01/2004		Modification
TC2.4.5	Nova Capital Management Limited	143456	30/04/2007		Modification
TC2.4.5	Nova Capital Management Limited	143456	30/04/2007		Modification
TC2.4.5	Nova Capital Management Limited	143456	07/02/2007		Modification
TC2.4.5	Nova Capital Management Limited	143456	30/04/2007		Modification
TC2.4.5	Nova Capital Management Limited	143456	30/04/2007		Modification
TC2.4.5	Nova Capital Management Limited	143456	30/04/2007		Modification
TC2.4.5	Nova Capital Management Limited	143456	30/04/2007		Modification
TC2.4.5	Novum Securities Limited	456804	02/01/2007		Modification
TC2.4.5	NPJ Asset Management LLP	446495	09/05/2006		Modification
TC2.4.5	NS Asset Management LLP	226367	13/01/2004		Modification
TC2.4.5	NS Asset Management LLP	226367	28/03/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	NS Asset Management LLP	226367	01/05/2007		Modification
TC2.4.5	NS Asset Management LLP	226367	07/08/2007		Modification
TC2.4.5	NVM Private Equity Limited	141943	14/01/2005	14/01/2007	Waiver
TC2.4.5	Oakes, Lyman & Co Limited	124563	27/10/2006		Modification
TC2.4.5	Oakes, Lyman & Co Limited	124563	07/12/2006		Modification
TC2.4.5	Oakley Capital Limited	195029	17/08/2007		Modification
TC2.4.5	Och Johnson Capital Management LLP	416318	12/12/2005		Modification
TC2.4.5	Odyssey Partners Limited	197331	01/06/2006		Modification
TC2.4.5	Odyssey Partners Limited	197331	01/06/2006		Modification
TC2.4.5	Old Brompton Capital Management LLP	466474	11/07/2007		Modification
TC2.4.5	Old Lane (UK) LLP	446685	03/04/2006		Modification
TC2.4.5	Old Lane (UK) LLP	446685	03/04/2006		Modification
TC2.4.5	Old Lane (UK) LLP	446685	03/04/2006		Modification
TC2.4.5	Old Lane (UK) LLP	446685	03/04/2006		Modification
TC2.4.5	Old Lane (UK) LLP	446685	21/04/2006		Modification
TC2.4.5	Olea Capital Partners LLP	221570	24/06/2004	24/06/2006	Modification
TC2.4.5	Omni Partners LLP	416689	18/05/2007	26/02/2016	Modification
TC2.4.5	OpCapita LLP	457656	14/03/2007		Modification
TC2.4.5	OpCapita LLP	457656	05/02/2007	31/10/2007	Modification
TC2.4.5	OpCapita LLP	457656	05/02/2007	31/10/2007	Modification
TC2.4.5	Operis Business Engineering Limited	221476	23/07/2003		Modification
TC2.4.5	Operis Business Engineering Limited	221476	05/05/2005		Modification
TC2.4.5	Operis Business Engineering Limited	221476	05/05/2005		Modification
TC2.4.5	Operis Business Engineering Limited	221476	22/06/2006		Modification
TC2.4.5	Opus Capital Limited	403428	16/08/2007		Modification
TC2.4.5	Orchard Street Investment Advisers Limited	461061	10/05/2007		Modification
TC2.4.5	Orchard Street Investment Advisers Limited	461061	10/05/2007		Modification
TC2.4.5	Orn Capital LLP	221545	01/05/2003	01/05/2006	Modification
TC2.4.5	Oxford Technology Management Limited	121929	07/08/2007		Modification
TC2.4.5	Pacific Capital Partners Limited	171200	10/04/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Palace Ventures Ltd	433291	14/10/2005		Modification
TC2.4.5	Palamon Capital Partners LP	188868	14/05/2007		Modification
TC2.4.5	Palamon Capital Partners LP	188868	14/05/2007		Modification
TC2.4.5	Palamon Capital Partners LP	188868	17/09/2007		Modification
TC2.4.5	Palamon Capital Partners LP	188868	17/09/2007		Modification
TC2.4.5	Pamplona Capital Management LLP	417741	02/02/2005		Modification
TC2.4.5	Pamplona Capital Management LLP	417741	02/02/2005		Modification
TC2.4.5	Pamplona Capital Management LLP	417741	25/08/2005	25/08/2010	Modification
TC2.4.5	Pareto Securities Limited	194126	29/05/2007	01/11/2007	Modification
TC2.4.5	Parish Capital Advisors Europe LLP	450360	04/09/2006		Modification
TC2.4.5	Parish Capital Advisors Europe LLP	450360	04/09/2006		Modification
TC2.4.5	Park Square Capital, LLP	414858	21/03/2005		Modification
TC2.4.5	Park Square Capital, LLP	414858	21/03/2005		Modification
TC2.4.5	Park Square Capital, LLP	414858	21/03/2005		Modification
TC2.4.5	Parkfield Capital LLP	440149	09/01/2006		Modification
TC2.4.5	Partner Capital Limited	171458	13/11/2003	12/05/2004	Waiver
TC2.4.5	PATO Partners LLP	461913	26/04/2007		Modification
TC2.4.5	PATO Partners LLP	461913	24/04/2007		Modification
TC2.4.5	Patrizia Financial Services Limited	210479	07/03/2003	06/09/2003	Waiver
TC2.4.5	Paulson Europe LLP	449212	11/07/2007		Modification
TC2.4.5	Paulson Europe LLP	449212	05/07/2007		Modification
TC2.4.5	Pavilion Alternatives Group Limited	187419	05/01/2007		Modification
TC2.4.5	Payden & Rygel Global Limited	190267	08/09/2005		Modification
TC2.4.5	Pelham Capital Management LLP	466939	01/10/2007	16/05/2008	Modification
TC2.4.5	Peloton Partners LLP	232520	18/03/2005		Modification
TC2.4.5	Pembroke Capital Advisors Limited	442495	17/01/2007		Modification
TC2.4.5	Pembroke Capital Advisors Limited	442495	17/01/2007		Modification
TC2.4.5	Pendragon Capital LLP	208619	29/10/2004		Modification
TC2.4.5	Pensions First Limited	469107	21/08/2007		Modification
TC2.4.5	Pensions First Limited	469107	09/08/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Pensions First Limited	469107	09/08/2007		Modification
TC2.4.5	Perinvest (UK) Limited	446442	30/08/2007		Modification
TC2.4.5	Permira Debt Managers Limited	465847	22/05/2007		Modification
TC2.4.5	Permira Debt Managers Limited	465847	20/08/2007		Modification
TC2.4.5	Peterhouse Capital limited	184761	02/07/2007	19/04/2015	Modification
TC2.4.5	Peterhouse Capital limited	184761	16/07/2007	19/04/2015	Modification
TC2.4.5	PGIM LIMITED	193418	10/08/2007		Modification
TC2.4.5	Pharo Management (UK) LLP	401546	08/12/2004		Modification
TC2.4.5	Pharo Management (UK) LLP	401546	04/06/2007		Modification
TC2.4.5	Picton Howell LLP	459082	15/05/2007		Modification
TC2.4.5	Piper Jaffray Ltd	191657	31/08/2006		Modification
TC2.4.5	PMM Advisers LLP	471342	29/10/2007		Modification
TC2.4.5	PMM Advisers LLP	471342	29/10/2007		Modification
TC2.4.5	PMM Advisers LLP	471342	29/10/2007		Modification
TC2.4.5	Polar Capital LLP	438046	24/06/2006		Modification
TC2.4.5	Polar Capital LLP	438046	30/10/2006		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	21/04/2006		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	21/04/2006		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	07/06/2006		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	29/06/2006		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	04/07/2006		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	04/07/2006		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	15/08/2006		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	15/08/2006		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	20/03/2007		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	04/04/2007		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	20/08/2007		Modification
TC2.4.5	Polygon Investment Partners LLP	221537	10/09/2007		Modification
TC2.4.5	Portigon AG	170532	27/11/2006	31/10/2007	Modification
TC2.4.5	Portland Capital LLP	459650	26/01/2007		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Prologue Capital LLP	440372	11/01/2006		Waiver
TC2.4.5	Prologue Capital LLP	440372	11/01/2006		Waiver
TC2.4.5	Promethean Investments LLP	441847	17/08/2007		Modification
TC2.4.5	RACE-CAP ASSET MANAGEMENT LIMITED	456218	15/09/2006		Modification
TC2.4.5	Ratio Asset Management LLP	436075	15/11/2006		Modification
TC2.4.5	RDP Fund Management LLP	452462	13/11/2006		Modification
TC2.4.5	RDP Fund Management LLP	452462	13/11/2006		Modification
TC2.4.5	RDP Fund Management LLP	452462	13/11/2006		Modification
TC2.4.5	RDP Fund Management LLP	452462	13/11/2006		Modification
TC2.4.5	Redtree Securities Limited	436675	08/08/2006		Modification
TC2.4.5	Reech REIM LLP	463603	04/05/2007		Modification
TC2.4.5	Reech REIM LLP	463603	04/05/2007		Modification
TC2.4.5	Resource Europe Management Limited	424334	08/06/2006		Modification
TC2.4.5	Resource Europe Management Limited	424334	08/06/2006		Modification
TC2.4.5	Resource Europe Management Limited	424334	18/10/2006		Modification
TC2.4.5	Resource Europe Management Limited	424334	16/11/2006		Modification
TC2.4.5	Results International Group LLP	461148	03/08/2007		Modification
TC2.4.5	Richmond Park Partners LLP	460069	31/01/2007		Modification
TC2.4.5	RK Capital Management LLP	409049	22/06/2006	01/01/2012	Modification
TC2.4.5	Rostrum Group Limited	195575	14/04/2005		Waiver
TC2.4.5	Ruby Capital Partners LLP	430092	08/06/2005		Modification
TC2.4.5	Ruby Capital Partners LLP	430092	08/06/2005		Modification
TC2.4.5	Ruby Capital Partners LLP	430092	25/08/2005	25/08/2010	Modification
TC2.4.5	Ruby Capital Partners LLP	430092	25/08/2005	25/08/2010	Modification
TC2.4.5	Rutley Corporate Finance LLP	461903	19/02/2007		Modification
TC2.4.5	Rutley Corporate Finance LLP	461903	19/02/2007		Modification
TC2.4.5	Rutley Corporate Finance LLP	461903	19/02/2007		Modification
TC2.4.5	RWE Trading Services Limited	208155	11/12/2003	30/11/2004	Waiver
TC2.4.5	RWE Trading Services Limited	208155	07/12/2005	01/11/2007	Waiver
TC2.4.5	Rynda Property Investors LLP	440617	09/03/2006		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Sabre Fund Management Ltd	114233	27/03/2007		Modification
TC2.4.5	Sabre Fund Management Ltd	114233	23/03/2007		Modification
TC2.4.5	Sabre Fund Management Ltd	114233	23/03/2007		Modification
TC2.4.5	Safinvest Ltd	461804	23/07/2007		Modification
TC2.4.5	Safinvest Ltd	461804	23/07/2007		Modification
TC2.4.5	Saginaw Capital LLP	435321	15/12/2006		Modification
TC2.4.5	Saltus Partners LLP	402531	25/09/2007		Modification
TC2.4.5	Sapient Corporate Finance	186612	24/08/2006		Modification
TC2.4.5	Sciens Capital Limited	170053	19/11/2002		Modification
TC2.4.5	ScottishPower Energy Management (Agency) Limited	208253	11/12/2003	27/11/2018	Waiver
TC2.4.5	ScottishPower Energy Management (Agency) Limited	208253	01/12/2005	30/11/2007	Modification
TC2.4.5	Securis Investment Partners LLP	432937	27/10/2005		Modification
TC2.4.5	Semperian Capital Management Limited	471861	19/10/2007		Modification
TC2.4.5	Semperian Capital Management Limited	471861	19/10/2007		Modification
TC2.4.5	Semperian Capital Management Limited	471861	19/10/2007		Modification
TC2.4.5	Semperian Capital Management Limited	471861	19/10/2007		Modification
TC2.4.5	SemperMacro Capital LLP	467127	18/09/2007		Modification
TC2.4.5	SemperMacro Capital LLP	467127	03/09/2007		Modification
TC2.4.5	SemperMacro Capital LLP	467127	03/09/2007		Modification
TC2.4.5	SemperMacro Capital LLP	467127	03/09/2007		Modification
TC2.4.5	Sentry Select (UK) Limited	461951	16/02/2007		Modification
TC2.4.5	Shelter Island Capital Management UK LLP	460377	21/03/2007		Modification
TC2.4.5	Shinsei International Limited	416499	11/07/2005		Modification
TC2.4.5	Shore Capital and Corporate Limited	146629	02/02/2006		Modification
TC2.4.5	Shore Capital and Corporate Limited	146629	20/03/2007		Modification
TC2.4.5	Shore Capital Ltd	437243	09/03/2007		Modification
TC2.4.5	Shore Capital Stockbrokers Ltd	124784	02/02/2006		Modification
TC2.4.5	Shore Capital Stockbrokers Ltd	124784	21/12/2006		Modification
TC2.4.5	Silver Point Europe LLP	432908	24/08/2005		Modification
TC2.4.5	Silverbrook Capital Management Limited	208259	29/11/2002	29/11/2004	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Sindicatum Capital International Ltd	402607	24/03/2005		Modification
TC2.4.5	Sindicatum Capital International Ltd	402607	24/03/2005		Modification
TC2.4.5	Sinthos Capital Advisors LLP	463540	02/07/2007		Modification
TC2.4.5	Sinthos Capital Advisors LLP	463540	02/07/2007		Modification
TC2.4.5	Smith's Corporate Advisory Limited	458790	05/06/2007		Modification
TC2.4.5	Smith's Corporate Advisory Limited	458790	27/06/2007		Modification
TC2.4.5	South West Capital Partners LLP	450906	04/09/2006		Modification
TC2.4.5	South West Capital Partners LLP	450906	04/09/2006		Modification
TC2.4.5	Sovereign Unit Trust Managers Limited	121998	26/03/2003	19/04/2011	Waiver
TC2.4.5	Spark Impact Limited	143361	27/03/2006		Modification
TC2.4.5	Spark Impact Limited	143361	18/05/2007		Modification
TC2.4.5	Spark Impact Limited	143361	01/06/2007		Modification
TC2.4.5	Spark Impact Limited	143361	01/06/2007		Modification
TC2.4.5	Spark Impact Limited	143361	01/06/2007		Modification
TC2.4.5	SPARK Venture Management Limited	147593	27/03/2006		Modification
TC2.4.5	SPARK Venture Management Limited	147593	01/06/2007		Modification
TC2.4.5	SPARK Venture Management Limited	147593	18/05/2007		Modification
TC2.4.5	SPARK Venture Management Limited	147593	01/06/2007		Modification
TC2.4.5	SPARK Venture Management Limited	147593	01/06/2007		Modification
TC2.4.5	SS&C Depository Services Limited	447534	14/06/2007		Modification
TC2.4.5	SSY Futures Limited	181602	12/03/2003		Modification
TC2.4.5	SSY Futures Limited	181602	16/12/2004		Modification
TC2.4.5	Standard Life Investments Limited	188406	24/04/2006		Modification
TC2.4.5	Standard Life Investments Limited	188406	13/04/2007		Modification
TC2.4.5	Standard Life Investments Limited	188406	19/09/2007		Modification
TC2.4.5	Standard Life Investments Limited	188406	01/10/2007		Modification
TC2.4.5	Starmark Investment Management Limited	190249	14/07/2005		Modification
TC2.4.5	Starmark Investment Management Limited	190249	14/07/2005		Modification
TC2.4.5	Stifel Nicolaus Europe Limited	190412	28/08/2007		Modification
TC2.4.5	Stifel Nicolaus Europe Limited	190412	28/08/2007	28/08/2009	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Stifel Nicolaus Europe Limited	190412	28/08/2007		Modification
TC2.4.5	Stifel Nicolaus Europe Limited	190412	28/08/2007		Modification
TC2.4.5	Stifel Nicolaus Europe Limited	190412	28/08/2007		Modification
TC2.4.5	Stifel Nicolaus Limited	172754	25/03/2004		Modification
TC2.4.5	Stifel Nicolaus Limited	172754	15/06/2007		Modification
TC2.4.5	Straumur-Burdaras Investment Bank hf	447906	17/08/2007		Modification
TC2.4.5	Sussex Place Ventures Limited	188525	03/10/2005		Modification
TC2.4.5	Sussex Place Ventures Limited	188525	25/10/2006		Modification
TC2.4.5	Sussex Place Ventures Limited	188525	18/09/2007		Modification
TC2.4.5	Sussex Place Ventures Limited	188525	18/09/2007		Modification
TC2.4.5	Synergy Global Capital LLP	471055	16/08/2007		Modification
TC2.4.5	Synergy Global Capital LLP	471055	16/08/2007		Modification
TC2.4.5	Synergy Global Capital LLP	471055	16/08/2007		Modification
TC2.4.5	Synergy Global Capital LLP	471055	16/08/2007		Modification
TC2.4.5	Synergy Global Capital LLP	471055	16/08/2007		Modification
TC2.4.5	Synova Capital LLP	471173	22/10/2007		Modification
TC2.4.5	Synova Capital LLP	471173	22/10/2007		Modification
TC2.4.5	T U Fund Managers Ltd	122346	11/07/2006		Modification
TC2.4.5	Teathers Limited	186677	01/12/2006		Modification
TC2.4.5	Teathers Limited	186677	01/05/2007		Modification
TC2.4.5	Tellurian Capital Management LLP	456572	14/02/2007		Modification
TC2.4.5	Tellurian Capital Management LLP	456572	14/02/2007		Modification
TC2.4.5	Tenax Capital Ltd	407394	30/08/2007		Modification
TC2.4.5	Terra Firma Capital Partners Limited	208680	29/03/2007		Modification
TC2.4.5	TFO Management LLP	401358	27/06/2006		Modification
TC2.4.5	The Black Ant Group LLP	232168	16/08/2007		Modification
TC2.4.5	The Cambridge Strategy (Asset Management) Limited	452340	14/09/2006		Modification
TC2.4.5	The Cambridge Strategy (Asset Management) Limited	452340	14/09/2006		Modification
TC2.4.5	Theorema Asset Management Limited	195576	12/09/2007	01/11/2007	Modification
TC2.4.5	Thomas Asset Advisors LLP	434769	09/09/2005	09/09/2007	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Thomas Miller Investment Ltd	189829	31/08/2006		Modification
TC2.4.5	Threadneedle Asset Management Limited	122194	09/08/2007		Modification
TC2.4.5	Titian Global Investments LLP	453014	02/10/2006		Modification
TC2.4.5	Titian Global Investments LLP	453014	02/10/2006		Modification
TC2.4.5	TowerBrook Capital Partners (UK) LLP	416020	26/07/2007		Modification
TC2.4.5	Towers Watson Limited	432886	23/11/2006		Modification
TC2.4.5	Towers Watson Limited	432886	02/07/2007		Modification
TC2.4.5	Transparent Capital Ltd	221409	14/09/2006		Modification
TC2.4.5	Trebax Capital Management LLP	418397	07/03/2005		Modification
TC2.4.5	TRI Asset Management LLP	450888	20/07/2006		Modification
TC2.4.5	TRX Futures Limited	114247	30/05/2006		Modification
TC2.4.5	TRX Futures Limited	114247	30/05/2006		Modification
TC2.4.5	TT International	170435	15/03/2004	10/04/2012	Modification
TC2.4.5	TT International	170435	05/07/2004	31/12/2004	Modification
TC2.4.5	TT International	170435	23/07/2004	23/08/2018	Modification
TC2.4.5	TT International	170435	06/09/2005	10/04/2012	Modification
TC2.4.5	TT International	170435	06/09/2005	10/04/2012	Modification
TC2.4.5	TT International	170435	29/11/2005	28/11/2007	Modification
TC2.4.5	TT International	170435	20/01/2006	23/08/2018	Modification
TC2.4.5	TXU Europe Trading Limited	198046	16/04/2002	01/12/2003	Waiver
TC2.4.5	UBS HEDGE FUND SOLUTIONS LIMITED	208275	06/11/2006		Modification
TC2.4.5	UBS O'Connor Limited	122627	14/10/2005		Modification
TC2.4.5	UniCredit CAIB Securities UK Ltd.	197498	24/10/2006	31/10/2007	Modification
TC2.4.5	UniCredit CAIB Securities UK Ltd.	197498	24/10/2006	10/09/2007	Modification
TC2.4.5	Unifortune Investment Management Limited	224232	04/08/2006		Modification
TC2.4.5	Vanneck Limited	437348	01/02/2006		Modification
TC2.4.5	Vantage Securities Limited	452320	23/08/2006		Modification
TC2.4.5	Venrex Investment Management LLP	449474	02/06/2006		Modification
TC2.4.5	Venrex Investment Management LLP	449474	02/06/2006		Modification
TC2.4.5	Vertex Management (UK) Limited	191872	02/09/2004		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5	Vicarage Capital Ltd	455300	01/11/2006		Modification
TC2.4.5	Viking Global Investors Europe LLP	457169	25/09/2007		Modification
TC2.4.5	Vision Capital Limited	183566	23/09/2005	31/07/2006	Waiver
TC2.4.5	Vitruvian Partners LLP	454063	31/08/2006		Modification
TC2.4.5	Vitruvian Partners LLP	454063	21/12/2006		Modification
TC2.4.5	Vontobel Asset Management S.A.	464960	01/08/2007		Modification
TC2.4.5	Vontobel Asset Management S.A.	464960	21/08/2007		Modification
TC2.4.5	Weaving Capital (UK) Limited	187596	21/05/2007		Modification
TC2.4.5	Wedge Alternatives Limited	220109	01/08/2007		Modification
TC2.4.5	Wellington Management International Limited	208573	29/08/2006		Modification
TC2.4.5	Wharton Asset Management UK Limited	195580	10/08/2005		Modification
TC2.4.5	Wharton Asset Management UK Limited	195580	10/08/2005		Modification
TC2.4.5	WiJo Capital LLP	455896	02/11/2006		Modification
TC2.4.5	Wilton Corporate Finance Ltd	217180	09/06/2004	08/12/2004	Modification
TC2.4.5	Woodbourne Investment Management International LLP	445969	10/04/2006		Modification
TC2.4.5	Wyetree Asset Management Ltd	462363	23/05/2007		Modification
TC2.4.5	Xeryus Capital Management LLP	454903	06/10/2006		Modification
TC2.4.5	York Capital Management UK Advisors Limited	208577	14/08/2007		Modification
TC2.4.5 (1)	Bond Capital Partners (UK) Ltd	443394	02/07/2007		Modification
TC2.4.5 (1)	Conduit Capital Markets Limited	466445	09/07/2007		Modification
TC2.4.5 (1)	Cooperatieve Rabobank U.A.	171596	01/12/2006	11/09/2012	Modification
TC2.4.5 (1)	Credit Agricole Corporate and Investment Bank	124344	04/03/2005	31/10/2007	Modification
TC2.4.5 (1)	Knight Frank Investment Management LLP	439995	04/07/2007	03/07/2009	Modification
TC2.4.5 (1)	McNamee Lawrence & Co Limited	415354	11/04/2005		Modification
TC2.4.5 (2)	Accel Partners Limited	210501	03/07/2002		Modification
TC2.4.5 (2)	Access Equity Management Limited	207801	07/01/2004		Modification
TC2.4.5 (2)	Actis LLP	230585	12/11/2004		Modification
TC2.4.5 (2)	AIG Capital Management Limited	178746	22/05/2003		Modification
TC2.4.5 (2)	AIG International Limited	170911	11/09/2002		Waiver
TC2.4.5 (2)	Aquarius Equity Partners Limited	222895	08/11/2005		Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5 (2)	Aspect Capital Limited	188395	30/12/2003		Waiver
TC2.4.5 (2)	Aspect Capital Limited	188395	02/09/2004		Modification
TC2.4.5 (2)	Baker Steel Capital Managers LLP	208317	14/08/2002	14/08/2005	Modification
TC2.4.5 (2)	BMO Asset Management Limited	119230	21/05/2003	10/12/2007	Waiver
TC2.4.5 (2)	BNP Paribas Real Estate Investment Management (UK) Limited	208725	04/07/2002		Modification
TC2.4.5 (2)	Bregal Capital LLP	208036	11/09/2002		Modification
TC2.4.5 (2)	Cairn Capital Limited	400045	24/11/2004		Waiver
TC2.4.5 (2)	Coller Capital Limited	172405	31/03/2003	08/09/2003	Modification
TC2.4.5 (2)	Commonwealth Bank of Australia	139185	20/12/2002	20/12/2003	Modification
TC2.4.5 (2)	Earth Capital UK Limited	221604	20/08/2003	20/02/2004	Modification
TC2.4.5 (2)	Emerging Markets Partnership (Europe) Ltd	207314	23/07/2002		Modification
TC2.4.5 (2)	Euronova Asset Management Limited	192621	06/10/2004		Modification
TC2.4.5 (2)	Folio Corporate Finances Limited	208623	02/07/2002		Modification
TC2.4.5 (2)	Fulcrum Asset Management LLP	230683	12/08/2005		Modification
TC2.4.5 (2)	Gatehouse Investment Management Limited	210260	03/07/2002		Modification
TC2.4.5 (2)	HedgeMAP LLP	230722	08/07/2004		Waiver
TC2.4.5 (2)	HIM Capital Limited	178954	29/10/2002		Modification
TC2.4.5 (2)	Hutton Collins & Company Limited	208772	11/09/2002		Modification
TC2.4.5 (2)	Insight Investment Management (Global) Limited	119308	05/11/2003	12/10/2006	Waiver
TC2.4.5 (2)	Intesa Sanpaolo SpA	191858	20/07/2004	31/10/2007	Modification
TC2.4.5 (2)	Keith Bayley Rogers & Co Limited	197385	25/02/2005		Modification
TC2.4.5 (2)	Knight Frank Corporate Finance Limited	139141	24/10/2005	31/07/2006	Modification
TC2.4.5 (2)	Kreis Consulting Limited	188776	26/02/2003		Waiver
TC2.4.5 (2)	Magi Capital Partners LLP	211169	14/08/2002		Modification
TC2.4.5 (2)	Merchant Securities Holdings Limited	191907	05/11/2003		Waiver
TC2.4.5 (2)	Method Investments & Advisory Ltd	208692	23/07/2002		Modification
TC2.4.5 (2)	New Street Research LLP	225092	25/03/2004		Modification
TC2.4.5 (2)	Orion Global Advisors UK Limited	415036	14/02/2005		Modification
TC2.4.5 (2)	ORN Capital Services Limited	190619	14/08/2002	14/08/2005	Waiver
TC2.4.5 (2)	Payden & Rygel Global Limited	190267	21/11/2002	20/05/2003	Waiver

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
TC2.4.5 (2)	Penta Capital Partners Limited	190749	18/12/2002		Modification
TC2.4.5 (2)	Spectrum Capital Ltd	124867	26/03/2003		Modification
TC2.4.5 (2)	Standard Life Investments Limited	188406	20/01/2004		Modification
TC2.4.5 (2)	Sthenos Partners 2002 LLP	197514	26/10/2004		Modification
TC2.4.5 (2)	Stirling Square Capital Partners LLP	221481	09/11/2004		Waiver
TC2.4.5 (2)	Texas Pacific Group (Europe) Limited	189594	25/10/2002		Modification
TC2.4.5 (2)	UniCredit CAIB UK Ltd	197426	23/07/2004		Modification
TC2.4.5 (2)	Vesta Capital Partners (UK) Ltd	195961	19/11/2003		Waiver
TC2.4.5 (2)	Vor Financial Strategy Limited	137983	23/09/2003		Waiver
TC2.5	BARINGS (U.K.) LIMITED	194662	26/08/2003		Modification
TC2.5.5 (1)	HIM Capital Limited	178954	29/10/2002		Modification
TC2.7.3	Comer and Farnan Pension and Insurance Consultants Ltd	118235	16/07/2003	15/07/2004	Modification
TC2.7.5	Comer and Farnan Pension and Insurance Consultants Ltd	118235	16/07/2003	15/07/2004	Modification
TC2.7.5	Isle of Man Assurance Limited	142307	01/05/2003		Modification
TC2.7.5	Sesame Limited	150427	01/08/2003	31/07/2004	Modification
TC2.8.1	Sesame Limited	150427	01/08/2003	31/07/2004	Modification