



BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY

Release Handbook Summary Release 149

This release contains pages to be inserted into your paper version of the Handbook in order to bring it up to date. These changes came into force between 7 April 2014 and 6 May 2014.

Please note that you will only receive updated pages to Handbook modules that you have subscribed to when there are changes to those modules.

Therefore, there will be some months when you may not receive any updated release pages. If you have a query regarding your modules please see the Instruments listed by module on the Handbook website, <u>http://fshandbook.info/FS/InstrumentsByDate.jsp</u>. A checklist, detailing which release number last updated pages within the Handbook hardcopy, is available. To view this, please visit <u>http://www.fca.org.uk/your-fca/list?ttypes=Handbook&yyear=&ssearch=</u>.

Please remove existing pages and insert the new pages into your Handbook as follows:

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GLOSSARY (last updat	ted in Release 148)						
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E	[Whole Chapter]	E1 – E32	16	E1 – E32	16	27 September 2012 27 March 2014	26 April 2014 1 May 2014
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Н	[Whole Chapter]	H1 – H12	6	H1 – H12	6	27 September 2012	26 April 2014
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R		R13 – R42	14	R13 – R44	16	27 September 2012 27 March 2014 25 April 2014	26 April 2014 1 May 2014
S		S3 – S20 S29 – S30	9 1	S3 – S20 S29 – S30	9 1	27 September 2012 25 April 2014	26 April 2014 1 May 2014
Т		T5 –T16	6	T5 –T16	6	27 March 2014 25 April 2014	1 May 2014
U		U5 – U14	5	U5 – U14	5	27 March 2014	1 May 2014
HIGH LEVEL STANDAR	RDS				· 		
SYSC: SENIOR MANAG	GEMENT ARRANGEMENTS, SYSTEMS AND CONTROLS (ast updated in I	Release 148)				
Chapter 1	Annex 1*;	1 – 40	20	1 – 40	20	12 December 2013	1 January 2014

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Chapter 19B	19B.1.1A;	1 – 2	1	1 – 2	1	Minor & Non- Legal Change	6 May 2014
TC: TRAINING AN	ND COMPETENCE (last updated in Release 148)						
Appendix 1.1		1 – 4	2	1 – 4	2	27 September 2012 26 September 2013	26 April 2014
Appendix 4.1		3 – 28	13	3 – 28	13	26 September 2013	26 April 2014
TP 8		1 – 2	1	1 – 2	1	27 September 2012	26 April 2014
FEES: FEES MAN	UAL (last updated in Release 148)	<u>.</u>					
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Chapter 4	4.1.3;	1 – 2	1	1 – 2	1	Minor & Non- Legal Change	6 May 2014

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PRUDENTIAL ST	ANDARDS		· · · · · · · · · · · · · · · · · · ·				
IFPRU: PRUDEN	ITIAL SOURCEBOOK FOR INVESTMENT FIRMS (last updat	ed in Release 148)					
Chapter 1	1.1.1;	1 – 6	3	1 – 6	3	27 March 2014	1 May 2014
Chapter 10	[New Chapter]	N/A	N/A	1 – 14	7	27 March 2014	1 May 2014
TP 7	[New Chapter]	N/A	N/A	1 – 2	1	27 March 2014	1 May 2014
TP 8	[New Chapter]	N/A	N/A	1 – 2	1	27 March 2014	1 May 2014
Schedule 2		3 – 4	1	3 – 4	1	27 March 2014	1 May 2014
MIPRU: PRUDE	NTIAL SOURCEBOOK FOR MORTGAGE AND HOME FINAN	ICE FIRMS, AND INS	URANCE INTER	MEDIARIES (la	st updated in	Release 146)	
Chapter 4	[Whole Chapter]	1 – 26	13	1 – 38	19	27 September 2012	26 April 2014
						28 February 2014	
BUSINESS STAN	IDARDS		· · · · ·				
COBS: CONDUC	T OF BUSINESS SOURCEBOOK (last updated in Release 1	48)					
Chapter 4	4.11.1*;	29 – 30	1	29 – 30	1	12 December 2013	1 January 2014
Chapter 6	6.2A.4;	39 – 42	2	39 – 42	2	27 September 2012	26 April 2014

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	Annex 2	1 – 2	1	1 – 2	1	27 September 2012	26 April 2014
TP 2		13 – 14	1	13 – 14	1	Minor & Non- Legal Change	6 May 2014
MCOB: MORTGA	GES AND HOME FINANCE: CONDUCT OF BUSINESS SOURCE	EBOOK (last upd	ates in Release	e 148)			
Front Matter		0-5	3	0 – 5	3	27 September 2012	26 April 2014
Chapter 1	1.2.1 – 1.2.5; 1.2.7 – 1.2.9; 1.2.9B – 1.2.10; 1.3.4;	3 – 14	6	3 – 16	7	27 September 2012	26 April 2014
Chapter 2	2.1.2; 2.2.5; 2.5A.1; 2.6A1; 2.6A.5B;	1 – 22	11	1 – 22	11	27 September 2012	26 April 2014
Chapter 3	3.8.6;	29 – 30	1	29 – 30	1	27 September 2012	26 April 2014
Chapter 4	[Whole Chapter]	1 – 38	19	1 – 50	25	27 September 2012	26 April 2014
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Chapter 5	[Whole Chapter]	1 – 72	36	1 - 74	37	27 September 2012	26 April 2014
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Chapter 6	6.4.4; 6.4.11A; 6.7.1 - 6.7.3; 6.9.1 – 6.9.2;	5 – 12	4	5 – 12	4	27 September	26 April 2014
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Chapter 7	7.4.1; 7.5.3 – 7.5.4; 7.5.8; 7.6.7; 7.6.9; 7.7.1 – 7.7.1A; 7.7.3 – 7.7.5; 7.8.4;	5 – 22	9	5 – 22	9	27 September 2012	26 April 2014
Chapter 8	8.1.1 - 8.1.3; 8.1.5; 8.2.1 - 8.3.4; 8.5 - 8.6A;	1 – 18	9	1 – 20	10	27 September 2012	26 April 2014
	Annex 1	1 – 2	1	1 – 2	1	27 September 2012	26 April 2014
Chapter 9	9.3.1 – 9.3.4; 9.3.11 - 9.3.12; 9.7.2; 9.7.8;	5 – 10	3	5 – 10	3	27 September 2012	26 April 2014
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Chapter 12	12.1.4 – 12.1.5; 12.4.1 – 12.4.8; 12.6.1 – 12.6.2;	1 – 10	5	1 – 12	6	27 September 2012	26 April 2014
Chapter 13	[Whole Chapter]	1 – 16	8	1 – 18	9	27 September 2012	26 April 2014
TP 1		1 – 2	1	1 – 4	2	26 September 2013	26 April 2014
Schedule 1		1 – 10	5	1 – 12	6	27 September 2012	26 April 2014

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REGULATORY PR	OCESSES				-		
SUP: SUPERVISIO	DN (last updated in Release 148)						
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Chapter 13	13.5.3; 13.8.1A;	15 – 18	2	15 – 18	2	25 April 2014	1 May 2014
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Chapter 13A	13A.1.3; 13A.6.2;	3-4	1	3 – 4	1	25 April 2014	1 May 2014
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Chapter 14	14.1.3;	1 – 4	2	1 – 4	2	25 April 2014	1 May 2014
Chapter 15	15.3.11; 15.5.9;	7 – 8	1	7 – 8	1	25 April 2014	1 May 2014
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Chapter 16	16.1.3; 16.10.1; 16.10.4A	1 – 6	3	1 – 6	3	25 April 2014	1 May 2014
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Appendix 3	3.3.6; 3.3.13; 3.9.1 – 3.9.2;	1 – 8	4	1 – 8	4	25 April 2014	1 May 2014

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REDRESS			· · · · · ·				
COMP: COMPEN	NSATION (last updated in Release 146)						
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SPECIALIST SOU	RCEBOOK						
CREDS: CREDIT	UNIONS SOURCEBOOK (last updated in Release 1	48)					
Chapter 2	2.2.24;	5 – 6	1	5 – 6	1	25 April 2014	1 May 2014
FUND: INVESTM	IENT FUNDS SOURCEBOOK (last updated in Relea	se 146)			-		
Chapter 3	3.3.5A;	7 – 8	1	7 – 8	1	Minor & Non- Legal Change	6 May 2014
PROF: PROFESS	IONAL FIRMS (last updated in Release 146)					1	
Chapter 5	5.3.8;	7 – 8	1	7 – 8	1	27 September 2012	26 April 2014
REC: RECOGNIS	ED INVESTMENT EXCHANGES (last updated in Re	lease 148)				1	
Chapter 2	2.2.2;	3-6	2	3 – 6	2	1 May 2014	2 May 2014
Chapter 6	6.7.4;	9 – 12	2	9 – 12	2	1 May 2014	2 May 2014
PRA RULEBOOK							
RULEBOOK GLO	SSARY						
CA and PRA H		0					Rolozso 1/10

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	[Whole Module]	1 – 6	3	1 – 6	3	25 April 2014	1 May 2014
BENCHMARKING OF	INTERNAL APPROACHES	•					
	[Whole Module]	1 – 4	2	1 – 4	2	Minor & non- Legal Change	6 May 2014
WAIVERS TRANSITIO	NAL PROVISIONS				·		
	[Whole Module]	1 – 10	5	1 – 10	5	25 April 2014	1 May 2014
CAPITAL BUFFERS		•					
	[New Module]	N/A	N/A	1 – 10	5	25 April 2014	1 May 2014

*These changes were previously blocked but have now been released.

** N.B: This annex consists of one or more forms. Please see the Handbook Online to view, download and/or complete the most recent version of this form: http://fshandbook.info/FS/usefullinks/forms.jsp

*** N.B: This annex/appendix consists of one or more PDFs. Please see the relevant part of the Handbook Online to view, download and/or complete the most recent version.