



No.27

Handbook Notice

November 2015

Financial Conduct Authority



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Handbook Notice 27

This Handbook Notice introduces the Handbook and other material made by the Financial Conduct Authority (FCA) Board under its legislative powers on 5 November 2015. It also contains information about other publications relating to the Handbook and, if appropriate, lists minor corrections made to previous instruments made by the Board.

Contact names for the individual modules are listed in the relevant Consultation Paper and Policy Statement referred to in this Notice.

General comments and queries on the Handbook can be addressed to:

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Email: emily.how@fca.org.uk

Emma Elder

Tel: 020 7066 0284

Email: emma.elder@fca.org.uk

However, queries on specific requirements in the Handbook should be addressed first to your normal supervisory contact in the FCA. For most firms this will be the FCA's Contact Centre:

Tel: 0300 500 0597

Fax: 020 7066 0991

Email: firm.queries@fca.org.uk

Post: FCA Contact Centre
Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London E14 5HS

All our publications are available to download from www.fca.org.uk. If you would like to receive this paper in an alternative format, please call 020 7066 0790 or email publications_graphics@fca.org.uk or write to Editorial and Digital Department, Financial Conduct Authority, 25 The North Colonnade, Canary Wharf, London E14 5HS

1. Overview

Legislative changes

- 1.1** On 5 November 2015, the FCA Board made changes to the Handbook in the instrument listed below.

CP	Title of instrument	Instrument No.	Changes effective
15/11	Disclosure and Transparency Rules Sourcebook (Transparency Directive Amending Directive) Instrument 2015	2015/54	26.11.15

Summary of changes

- 1.2** The legislative changes referred to above are listed and briefly described in Chapter 2 of this Notice.

Feedback on responses to consultations

- 1.3** Feedback to the above consultation is published in a separate Policy Statement.

FCA Board dates for 2015 and 2016

- 1.4** The tables below contain a list of forthcoming FCA board meetings. These dates are subject to change without prior notice.

- 1.5** Board meetings scheduled for 2015:

December	3
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Board meetings scheduled for 2016:

January	28
February	25
March	17
April	21

May	26
June	23
July	21
September	22
October	20
November	2 and 3
December	8

2. Summary of changes

- 2.1** This chapter briefly describes FCA Handbook changes made by the Board on 5 November 2015. Where relevant, it also refers to the development stages of that material, enabling readers to look back at developmental documents if they wish. For information on changes made by the Prudential Regulation Authority (PRA) please see <http://www.bankofengland.co.uk/pr/Pages/publications/default.aspx>

Disclosure and Transparency Rules Sourcebook (Transparency Directive Amending Directive) Instrument 2015 (FCA 2015/54)

- 2.2** Following consultation in CP15/11¹, the FCA Board has made changes to the FCA Handbook sections listed below:
- Glossary**
 - LR 17**
 - DTR 4, 5, 6 and TP 1**
- 2.3** In summary, this instrument makes changes to the Disclosure Rules and Transparency Rules (DTRs) to implement the Transparency Directive Amending Directive 2013/50/EU (TDAD). It also makes other necessary changes to the DTRs to amend or improve current practice.
- 2.4** This instrument comes into force on **26 November 2015**. Feedback to this consultation is published in a separate Policy Statement.²

¹ CP15/11 *Implementation of the Transparency Directive Amending Directive (2013/50/EU) and other Disclosure Rule and Transparency Rule Changes* (March 2015)

² PS15/26 *Implementation of the Transparency Directive Amending Directive (2013/50/EU) and other Disclosure Rule and Transparency Rule Changes including feedback on CP15/11 and final rules* (November 2015)

3. Consultation feedback

3.1 There is no consultation feedback this month.

4. Additional information

Making corrections

- 4.1** The FCA reserves the right to make correctional or clarificatory amendments to the instruments made at the Board meeting without further consultation should this prove necessary or desirable.

Publication of Handbook material

- 4.2** This Notice is published on the FCA website.
- 4.3** The formal legal instruments (which contain details of the changes) can be found on the FCA's website listed by date, reference number or module at <https://www.handbook.fca.org.uk/>. The definitive version of the Handbook at any time is the version contained in the legal instruments.
- 4.4** The changes to the Handbook are incorporated in the consolidated Handbook text on the website as soon as practicable after the legal instruments are published.
- 4.5** The consolidated text of the Handbook can be found on the FCA's website at <https://www.handbook.fca.org.uk>.
- 4.6** Copies of the FCA's consultation papers are available on the FCA's website.

Obligation to publish feedback

- 4.7** This Notice, and the feedback to which paragraph 1.6 refers, fulfil the FCA Board's obligations under sections 138I(4) and (5) and similar sections of the Financial Services and Markets Act 2000 ('the Act'). These obligations are to publish an account of representations received in response to consultation and the FCA's response to them, and to publish details of any significant differences between the provisions consulted on and the provisions made by the Board, with a cost-benefit analysis and a statement under section 138K(4) of the Act if a proposed rule applies to authorised persons, including mutual societies.

Comments

- 4.8** We always welcome feedback on the way we present information in the Handbook Notice. If you have any suggestions, please use the contact details at the front of this Notice.

Financial Conduct Authority



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