

### LIST OF NON-LEGAL CORRECTIONS AND CLARIFICATIONS IN THE HANDBOOK

This document lists the minor corrections and clarifications that we have recently made to the Handbook, other than those made by Handbook Administration instrument. These changes are regarded as having no legal effect. None of these changes represents a change in policy.

In this list, underlining indicates new text and striking through indicates deleted text.

Handbook reference	Text of change made	Reason for change	Published date of change
MIPRU 5.2.6 G	The <i>FSA Register</i> can be accessed through the <i>FSA</i> website under the link <del>www.fsa.gov.uk/register</del> <a href="http://www.fsa.gov.uk/register/home.do">www.fsa.gov.uk/register/home.do</a>	Administrative update	20.1.12
SUP 17.2.3A G	The <i>regulated markets</i> and <i>MTFs</i> that report transactions undertaken on their systems to the <del>FSA</del> <i>FSA</i> are listed on the <i>FSA's</i> s website at: <del>http://www.fsa.gov.uk/Pages/Doing/Regulated/Returns/mtr/regulated_markets/index.shtml</del> <a href="http://www.fsa.gov.uk/Pages/Doing/Regulated/Returns/mtr/liffe_feed/index.shtml">www.fsa.gov.uk/Pages/Doing/Regulated/Returns/mtr/liffe_feed/index.shtml</a> .	Administrative update	20.1.12
SUP 16 Annex 14	The wording of the next links should change to read as follows (new words shown <u>underlined</u> ): Quarterly return (CQ) for credit unions, <u>including the supplementary analysis of the CQ</u>  Annual return (CY) for credit unions, <u>including the supplementary analysis of the CY</u>	Administrative update	22.03.12
SUP 16 Annex 15	Notes on completing the Quarterly return (CQ) for credit unions, <u>including notes on completing the supplementary analysis of the CQ</u>  Notes on completing the Annual return (CY) for credit unions, <u>including notes on completing the supplementary analysis of the CY</u>	Administrative update	22.03.12
SUP 16 Annex 15 G 1	In Notes on completing the CQ, the Notes on completing the supplementary analysis of the CQ (which currently begin half way down page 37) should start on a new page.	Administrative update	22.03.12

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SUP 16 Annex 15 G 2	In Notes on completing the CY, the Notes on completing the supplementary analysis of the CY (which currently begin half way down page 34) should start on a new page.	Administrative update	22.03.12
SUP 16 Annex 25G (FSA048)	Part 2 Security, <del>transferrable</del> <u>transferable</u> whole-loan .... ... (4) <del>transferrable</del> <u>transferable</u> whole-loans ... ... 9 Own-name securities and <del>transferrable</del> <u>transferable</u> whole-loans	Administrative update	02.04.12
SUP 16 Annex 25G (FSA048)	Part 3 Wholesale asset cash flow ... 24 Notional flows... A <i>firm</i> ... <del>transferrable</del> <u>transferable</u> loans ...	Administrative update	02.04.12
SUP 16 Annex 25G (FSA048)	Part 5 Repo cash flows This part ... encumber the <i>firm's</i> securities or <del>transferrable</del> <u>transferable</u> whole-loans ...	Administrative update	02.04.12
SYSC 1.1A	Insert the following Note as shown:  <b>1.1A Application</b>  <u>[Note: ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering various topics relating to automated trading and direct electronic access. See <a href="http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf">http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf</a>]</u>  1.1A.1G        The application of this sourcebook ...	Administrative update	27.04.12

Handbook reference	Text of change made	Reason for change	Published date of change
GEN 1.1	<p>Insert the following Note as shown:</p> <p><b>1.1 Application</b></p> <p><u>[Note: ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering various topics relating to automated trading and direct electronic access. See <a href="http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf">http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf</a>]</u></p> <p>1.1.1R (1) This chapter applies ...</p>	Administrative update	27.04.12
MAR 1.1	<p>Insert the following Note as shown:</p> <p><b>1.1 Application and interpretation</b></p> <p><u>[Note: ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering various topics relating to automated trading and direct electronic access. See <a href="http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf">http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf</a>]</u></p> <p>Application and purpose</p> <p>1.1.1G This chapter ...</p>	Administrative update	27.04.12
MAR 5.1	<p>Insert the following Note as shown:</p> <p><b>5.1 Application</b></p> <p><u>[Note: ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering various topics relating to automated trading and direct electronic access. See <a href="http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf">http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf</a>]</u></p> <p>5.1.1R This chapter applies to ...</p>	Administrative update	27.04.12

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REC 1.1	<p>Insert the following Note as shown:</p> <p><b>1.1 Application</b></p> <p><b>[Note:</b> ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering various topics relating to automated trading and direct electronic access. See <a href="http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf">http://www.fsa.gov.uk/static/pubs/other/esma-guidelines.pdf</a>]</p> <p>1.1.1G            The <i>rules and guidance ...</i></p>	Administrative update	27.04.12																																			
PROF 7.1.8	<p>The <i>FSA Register</i> can be accessed through the <i>FSA</i> website under the link <a href="http://www.fsa.gov.uk/register">www.fsa.gov.uk/register</a> <a href="http://www.fsa.gov.uk/register/">www.fsa.gov.uk/register/</a>.</p>	Administrative update	27.04.12																																			
SUP 16.12.13R	<table border="1" data-bbox="392 805 1453 1155"> <thead> <tr> <th data-bbox="392 805 647 874"><i>Data item</i></th> <th data-bbox="651 805 741 874">Daily</th> <th data-bbox="745 805 853 874">Weekly</th> <th data-bbox="857 805 965 874">Monthly</th> <th data-bbox="969 805 1099 874">Quarterly</th> <th data-bbox="1104 805 1234 874">Half yearly</th> <th data-bbox="1238 805 1453 874">Annual</th> </tr> </thead> <tbody> <tr> <td data-bbox="392 877 647 963">Annual report and accounts</td> <td data-bbox="651 877 741 963"></td> <td data-bbox="745 877 853 963"></td> <td data-bbox="857 877 965 963"></td> <td data-bbox="969 877 1099 963"></td> <td data-bbox="1104 877 1234 963"></td> <td data-bbox="1238 877 1453 963">80 <i>business days</i></td> </tr> <tr> <td data-bbox="392 967 647 1050"></td> <td data-bbox="651 967 741 1050"></td> <td data-bbox="745 967 853 1050"></td> <td data-bbox="857 967 965 1050"></td> <td data-bbox="969 967 1099 1050"></td> <td data-bbox="1104 967 1234 1050"></td> <td data-bbox="1238 967 1453 1050">80 <i>business days</i></td> </tr> <tr> <td data-bbox="392 1053 647 1107">....</td> <td data-bbox="651 1053 741 1107"></td> <td data-bbox="745 1053 853 1107"></td> <td data-bbox="857 1053 965 1107"></td> <td data-bbox="969 1053 1099 1107"></td> <td data-bbox="1104 1053 1234 1107"></td> <td data-bbox="1238 1053 1453 1107"></td> </tr> <tr> <td data-bbox="392 1110 647 1155"></td> <td data-bbox="651 1110 741 1155"></td> <td data-bbox="745 1110 853 1155"></td> <td data-bbox="857 1110 965 1155"></td> <td data-bbox="969 1110 1099 1155"></td> <td data-bbox="1104 1110 1234 1155"></td> <td data-bbox="1238 1110 1453 1155"></td> </tr> </tbody> </table>	<i>Data item</i>	Daily	Weekly	Monthly	Quarterly	Half yearly	Annual	Annual report and accounts						80 <i>business days</i>							80 <i>business days</i>	....														Administrative update	29.6.12
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FEES 6.3.22BG	<p>The reason for <del>FEES 6.3.23A R</del> <u>FEES 6.3.22AR</u> is that any such claim should be dealt with under <i>FEES 2.3</i> (Relieving Provisions).</p>	Administrative update	29.6.12																																			

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SUP 16.12.7R	<table border="1"> <thead> <tr> <th data-bbox="389 331 689 411"><i>Data item</i></th> <th data-bbox="689 331 781 411">Daily</th> <th data-bbox="781 331 891 411">Weekly</th> <th data-bbox="891 331 1001 411">Monthly</th> <th data-bbox="1001 331 1133 411">Quarterly</th> <th data-bbox="1133 331 1243 411">Half yearly</th> <th data-bbox="1243 331 1451 411">Annual</th> </tr> </thead> <tbody> <tr> <td data-bbox="389 411 689 523"><u>Annual report and accounts</u></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td data-bbox="1243 411 1451 523">80 <i>business days</i> (note 1) 7 months (note 2)</td> </tr> <tr> <td data-bbox="389 523 689 738"><i>Annual report and accounts of the mixed-activity holding company</i></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td data-bbox="1243 523 1451 738">80 <i>business days</i> (note 1) months (note 1) 7 months (note 2)</td> </tr> <tr> <td data-bbox="389 738 689 794">...</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td data-bbox="1243 738 1451 794">...</td> </tr> </tbody> </table>	<i>Data item</i>	Daily	Weekly	Monthly	Quarterly	Half yearly	Annual	<u>Annual report and accounts</u>						80 <i>business days</i> (note 1) 7 months (note 2)	<i>Annual report and accounts of the mixed-activity holding company</i>						80 <i>business days</i> (note 1) months (note 1) 7 months (note 2)	...						...	Administrative update	29.6.12
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SUP 16.12.17R	<table border="1"> <thead> <tr> <th data-bbox="389 922 689 1002"><i>Data item</i></th> <th data-bbox="689 922 781 1002">Daily</th> <th data-bbox="781 922 891 1002">Weekly</th> <th data-bbox="891 922 1001 1002">Monthly</th> <th data-bbox="1001 922 1133 1002">Quarterly</th> <th data-bbox="1133 922 1243 1002">Half yearly</th> <th data-bbox="1243 922 1451 1002">Annual</th> </tr> </thead> <tbody> <tr> <td data-bbox="389 1002 689 1058">...</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td data-bbox="1243 1002 1451 1058">...</td> </tr> <tr> <td data-bbox="389 1058 689 1169">FSA016</td> <td></td> <td></td> <td></td> <td data-bbox="1001 1058 1133 1169"><u>30 business days</u></td> <td></td> <td></td> </tr> <tr> <td data-bbox="389 1169 689 1225">...</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td data-bbox="1243 1169 1451 1225">...</td> </tr> </tbody> </table>	<i>Data item</i>	Daily	Weekly	Monthly	Quarterly	Half yearly	Annual	...						...	FSA016				<u>30 business days</u>			...						...	Administrative update	29.6.12
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Glossary: recog-nised body requirements	<p>(1) (in relation to an <i>RIE</i> or <i>RCH</i>) the <del>recognition requirements</del> <u>recognition requirements</u>;</p> <p>(2) (in relation to a <i>UK RIE</i>) the <i>MiFID implementing requirements</i>;</p> <p>(3) (in relation to an <i>RAP</i>) the <i>RAP recognition requirements</i>; and</p> <p>(4) (in relation to any of the bodies specified in (1) to (3)) any other obligations imposed by or under the <i>Act</i>.</p>	Corrected hyperlink	29.6.12
COMP 16 Annex 1 2 (1)	<p><b>UK domestic firms and non-EEA firms</b></p> <p>Firms that <i>accept deposits</i> under a single brand or trading name "Your eligible deposits with [insert name of firm] are protected up to a total of £85,000 by the Financial Services Compensation Scheme, the UK's deposit protection scheme. <del>Any deposits you hold above the £85,000 limit between these brands are not covered. Any deposits you hold above the £85,000 limit are not covered.</del></p> <p>Please ask/click here [delete as appropriate] for further information or visit <a href="http://www.fscs.org.uk">www.fscs.org.uk</a>"</p> <p>As an alternative, for credit unions that accept deposits under a single brand or trading name:</p> <p>"Your eligible deposits are protected up to a total of £85,000 by the Financial Services Compensation Scheme, the UK's deposit protection scheme. Any deposits you hold above the £85,000 limit are not covered.</p> <p>Please ask/click here [delete as appropriate] for further information or visit <a href="http://www.fscs.org.uk">www.fscs.org.uk</a>"</p> <p>...</p>	Administrative update	29.6.12
COBS 4.1.1R	<p>This chapter applies to a <i>firm</i>:</p> <p>...</p> <p>(2) ...</p> <p style="padding-left: 40px;"><del>(b) a financial promotion in respect of a non-investment insurance contact</del> <u>contract</u>; or</p> <p>...</p>	Administrative update	29.6.12

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EMPS 1.2.3G	In the row of the table headed "Regulatory processes", and then "Supervision manual (SUP)", make the following change: "(c) <del>SUP 16.7 (Financial reports)</del> 16.12 (Integrated Regulatory Reporting)....	Administrative update	1.9.12
PR 1.2.2 (5)	<i>transferable securities</i> offered, allotted or to be allotted to existing or former directors or employees by their employer <u>or by an affiliated undertaking</u> if: ...	To bring into line with FSA 2012/29	28.9.12
Glossary	The following entries, including the word "[deleted]" which currently appears alongside each have been removed: <i>dual-priced AUT</i> <i>essential information</i> <i>non-real time qualifying credit promotion</i> <i>qualifying credit promotion</i> <i>qualifying credit promotion rules</i> <i>real time qualifying credit promotion</i> <i>solicited real time qualifying credit promotion</i> <i>unsolicited real time qualifying credit promotion</i>	Administrative update	28.9.12
GENPRU 1.5.24G(5)	"(5) amounts apportioned to <i>members</i> in respect of the <i>credit equalisation provision</i> in <del>ISPRU</del> <i>INSPRU 1.4.</i> "	Administrative update	28.9.12
GEN 2 Annex 1(6)	"(1) post to:..... <u>25</u> The North Colonnade..."	Administrative update	28.9.12
GEN 5.1.2G	"... with the number <u>E3866688.</u> "	Administrative update	28.9.12
GEN 5 Annex 1	"2.2 ... with number <u>E3866688.</u> "	Administrative update	28.9.12
LR 9.6.16R	" ... <del>PD Regulations</del> <i>Regulation</i> "	Administrative update	28.9.12
LR 9.6.17R	" ... <del>PD Regulations</del> <i>Regulation</i> "	Administrative update	28.9.12

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LR 13.6.1R	“ ... <del>PD Regulations</del> <u>Regulation</u> ” (four instances)	Administrative update	28.9.12
LR 13 Annex 1	“ ... <del>PD Regulations</del> <u>Regulation</u> ”	Administrative update	28.9.12
PR 3.3.6	... Article 34 Where no prospectus is required in accordance with Directive 2009 3/71/EC, any advertisement shall include a warning to that effect unless the issuer, ...	Administrative update	25.10.12
PR 3.3.6	... <del>NOTE: The European Commission has published a draft Regulation amending the PD Regulation here: <a href="http://ec.europa.eu/internal_market/securities/prospectus/index_en.htm">http://ec.europa.eu/internal_market/securities/prospectus/index_en.htm</a></del>  <del>The FSA will review prospectuses in accordance with the authoritative version of the PD Regulation, including any amendments made by the final published version of the above Regulation, which is the version that is published in the Official Journal of the European Union, from the date it is stated to be in force.</del>  <del>The FSA Handbook will be updated to reflect the final changes in due course.</del>  <del>Please also note that references to the PD Regulation in the FSA Handbook have been amended to take account of the amendments to the PD Regulation made by Regulation (EU) No 486/2012 which was published in the Official Journal on 9 June 2012.</del>	Administrative update	14.12.12



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COLLG	<p><b>The Collective Investment Scheme Information Guide</b></p> <p>This regulatory guide has been updated. This was not made by instrument.</p> <p>Since its last noted update (January 2009), there have been several changes to the regulatory regime for Collective Investment Schemes, particularly with the implementation of the revised UCITS Directive ('UCITS IV'). The updates to COLLG reflect both this and other changes to the Collective Investment Schemes sourcebook (COLL) since that time.</p> <p>The PDF can be found at the <b>Minor non- legal changes</b> section of the What's New page <a href="http://fsahandbook.info/FSA/whatsNew.jsp">http://fsahandbook.info/FSA/whatsNew.jsp</a></p>	New version added	14.12.12

**List last updated: December 2012**

If you have any comments on this list please email [nick.walker@fsa.gov.uk](mailto:nick.walker@fsa.gov.uk) (with a copy to [roslyn.anderson@fsa.gov.uk](mailto:roslyn.anderson@fsa.gov.uk)).