

List of non-legal corrections and clarifications in the FCA Handbook

This document lists the minor corrections and clarifications that we have 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
SYSC 1.1A	<p>[Note: ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering:</p> <ul style="list-style-type: none"> - various topics relating to automated trading and direct electronic access. <p>See http://www.esma.europa.eu/content/Final-report-Guidelines-systems-and-controls-automated-trading-environment-trading-platforms https://www.esma.europa.eu/sites/default/files/library/2015/11/esma_2012_122_en.pdf; and</p> <ul style="list-style-type: none"> - certain aspects of the MiFID suitability requirements which also deal with the system and control aspects of suitability. <p>See http://www.esma.europa.eu/content/Guidelines-certain-aspects-MiFID-suitability-requirements https://www.esma.europa.eu/sites/default/files/library/2015/11/2012-387_en.pdf.]</p>	Administrative change	10/7/2017
COBS 9 Annex 1	<p>4. a statement, in accordance with <i>GEN 4</i> that the <i>firm</i> is regulated by the <i>FCA</i> (or if an <i>appointed representative</i>, a statement of whom it is an <i>appointed representative</i> and that that <i>firm</i> is regulated by the <i>FCA</i>) to give basic advice, together with the registration number of the firm and the fact that the <i>firm's</i> status can be checked with the <i>FCA</i> on 0845 606 1234 <u>0800 111 6768</u> or on the <i>FCA</i> website at http://www.fca.org.uk;</p>	Administrative change	19/1/2018
MAR 9 Annex 6	<p>The form can be found at this address: https://www.fca.org.uk/publication/forms/drsp-changes-to-management-body-members.doc https://www.fca.org.uk/publication/forms/mifid-changes-management-body-form.docx</p>	Administrative change	9/2/2018
MAR 9 Annex 7	<p>[Editor's note: The form can be found at this address: https://www.fca.org.uk/publication/forms/mdp-on-boarding-application-form.doc https://www.fca.org.uk/publication/forms/mdp_on-boarding_application_form.doc]</p>	Administrative change	9/2/2018

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COBS 14.3A.3	[Note: article 24(4)(b) and article 25 24(5) of <i>MIFID</i>]	Administrative change	2/3/2018

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If you have any comments on this list please email handbook.feedback@fca.org.uk.