

## 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 |
|--------------------------------|--|-----------------------|--------------------------|
| <a href="#">SYSC 1.1A</a>      | <p><b>[Note:</b> ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering:</p> <ul style="list-style-type: none"> <li>- various topics relating to automated trading and direct electronic access. See <a href="http://www.esma.europa.eu/content/Final-report-Guidelines-systems-and-controls-automated-trading-environment-trading-platforms">http://www.esma.europa.eu/content/Final-report-Guidelines-systems-and-controls-automated-trading-environment-trading-platforms</a></li> <li>- certain aspects of the MiFID suitability requirements which also deal with the system and control aspects of suitability. See <a href="http://www.esma.europa.eu/content/Guidelines-certain-aspects-MiFID-suitability-requirements">http://www.esma.europa.eu/content/Guidelines-certain-aspects-MiFID-suitability-requirements</a></li> </ul> <p><b>]</b> <a href="https://www.esma.europa.eu/sites/default/files/library/2015/11/esma_2012_122_en.pdf">https://www.esma.europa.eu/sites/default/files/library/2015/11/esma_2012_122_en.pdf</a>; and <a href="https://www.esma.europa.eu/sites/default/files/library/2015/11/2012-387_en.pdf">https://www.esma.europa.eu/sites/default/files/library/2015/11/2012-387_en.pdf</a>.]</p> | Administrative change | 10/7/2017                |
| <a href="#">COBS 9 Annex 1</a> | <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 <del>0845 606 1234</del> <u>0800 111 6768</u> or on the <i>FCA</i> website at <a href="http://www.fca.org.uk">http://www.fca.org.uk</a>;</p>   | Administrative change | 19/1/2018                |
| <a href="#">MAR 9 Annex 6</a>  | <p>The form can be found at this address: <del><a href="https://www.fca.org.uk/publication/forms/drsp-changes-to-management-body-members.doc">https://www.fca.org.uk/publication/forms/drsp-changes-to-management-body-members.doc</a></del> <a href="https://www.fca.org.uk/publication/forms/mifid-changes-management-body-form.docx">https://www.fca.org.uk/publication/forms/mifid-changes-management-body-form.docx</a></p>   | Administrative change | 9/2/2018                 |
| <a href="#">MAR 9 Annex 7</a>  | <p><b>[Editor's note:</b> The form can be found at this address: <del><a href="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</a></del> <a href="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</a>]</p>   | Administrative change | 9/2/2018                 |

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|------------------------------|--|------------------------------|--------------------------|
| <a href="#">COBS 14.3A.3</a> | [ <b>Note:</b> article 24(4)(b) and article <del>25</del> <u>24</u> (5) of <i>MiFID</i> ]  | Administrative change        | 2/3/2018                 |
| GLOSS, COLL, FUND            | Updates to ESMA URLs   | Handbook Text Change Request | 9/2/2016                 |
| <a href="#">DISP 2.7.9R</a>  | (2) (in the Compulsory Jurisdiction) a complainant, other than a trustee of a pension scheme trust, who was:<br><br>(a) a professional client; or<br><br>(b) an eligible counterparty;<br><br>in relation to the firm and activity in question at the time of the act or omission which is the subject of the complaint; <del>and</del>  | Handbook Text Change Request | 22/2/2016                |
| <a href="#">SYSC 1.1A</a>    | <del><a href="http://www.esma.europa.eu/content/Final-report-Guidelines-systems-and-controls-automated-trading-environment-trading-platforms">http://www.esma.europa.eu/content/Final-report-Guidelines-systems-and-controls-automated-trading-environment-trading-platforms</a></del><br><br><a href="https://www.esma.europa.eu/system/files_force/library/2015/11/esma_2012_122_en.pdf">https://www.esma.europa.eu/system/files_force/library/2015/11/esma_2012_122_en.pdf</a><br><br><del><a href="http://www.esma.europa.eu/content/Guidelines-certain-aspects-MiFID-suitability-requirements">http://www.esma.europa.eu/content/Guidelines-certain-aspects-MiFID-suitability-requirements</a></del><br><br><a href="https://www.esma.europa.eu/system/files_force/library/2015/11/2012-387_en.pdf">https://www.esma.europa.eu/system/files_force/library/2015/11/2012-387_en.pdf</a> | Handbook Text Change Request | 17/3/2016                |
| <a href="#">COBS 1.1</a>     | <del><a href="http://www.esma.europa.eu/content/Guidelines-certain-aspects-MiFID-suitability-requirements">http://www.esma.europa.eu/content/Guidelines-certain-aspects-MiFID-suitability-requirements</a></del><br><br><a href="https://www.esma.europa.eu/system/files_force/library/2015/11/2012-387_en.pdf">https://www.esma.europa.eu/system/files_force/library/2015/11/2012-387_en.pdf</a>  | Handbook Text Change Request | 17/3/2016                |

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| <a href="#">COBS 9.1</a>   | <a href="http://www.esma.europa.eu/content/Guidelines-certain-aspects-MiFID-suitability-requirements">http://www.esma.europa.eu/content/Guidelines-certain-aspects-MiFID-suitability-requirements</a><br><a href="https://www.esma.europa.eu/system/files_force/library/2015/11/2012-387_en.pdf">https://www.esma.europa.eu/system/files_force/library/2015/11/2012-387_en.pdf</a>   | Handbook Text Change Request | 17/3/2016                |
| <a href="#">BIPRU 3.3</a>  | <a href="http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ccaissecuritisation.pdf">http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ccaissecuritisation.pdf</a><br><a href="http://www.bankofengland.co.uk/pru/Documents/publications/ss/2013/ss913.pdf">http://www.bankofengland.co.uk/pru/Documents/publications/ss/2013/ss913.pdf</a>   | Handbook Text Change Request | 17/3/2016                |
| <a href="#">BIPRU 9.11</a> | <a href="http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ccaissecuritisation.pdf">http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ccaissecuritisation.pdf</a><br><a href="http://www.bankofengland.co.uk/pru/Documents/publications/ss/2013/ss913.pdf">http://www.bankofengland.co.uk/pru/Documents/publications/ss/2013/ss913.pdf</a>   | Handbook Text Change Request | 17/3/2016                |
| <a href="#">BIPRU 9.12</a> | <a href="http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ccaissecuritisation.pdf">http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ccaissecuritisation.pdf</a><br><a href="http://www.bankofengland.co.uk/pru/Documents/publications/ss/2013/ss913.pdf">http://www.bankofengland.co.uk/pru/Documents/publications/ss/2013/ss913.pdf</a>   | Handbook Text Change Request | 17/3/2016                |
| <a href="#">COLL 4.7</a>   | <a href="http://www.esma.europa.eu/content/Guidelines-Common-definition-European-money-market-funds">http://www.esma.europa.eu/content/Guidelines-Common-definition-European-money-market-funds</a><br><a href="https://www.esma.europa.eu/system/files_force/library/2015/11/10-049_cesr_guidelines_mmfs_with_disclaimer.pdf">https://www.esma.europa.eu/system/files_force/library/2015/11/10-049_cesr_guidelines_mmfs_with_disclaimer.pdf</a> | Handbook Text Change Request | 17/3/2016                |
| <a href="#">COLL 5.3</a>   | <a href="http://www.esma.europa.eu/content/Guidelines-Risk-Measurement-and-Calculation-Global-Exposure-and-Counterparty-Risk-UCITS">http://www.esma.europa.eu/content/Guidelines-Risk-Measurement-and-Calculation-Global-Exposure-and-Counterparty-Risk-UCITS</a>  | Handbook Text Change Request | 17/3/2016                |

| Handbook reference       | Text of change made  | Reason for change            | Published date of change |
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|                          | <a href="https://www.esma.europa.eu/system/files_force/library/2015/11/10_788.pdf">https://www.esma.europa.eu/system/files_force/library/2015/11/10_788.pdf</a>  |                              |                          |
| <a href="#">COLL 6.8</a> | <p><del><a href="http://www.esma.europa.eu/content/Guidelines-Risk-management-principles-UCITS">http://www.esma.europa.eu/content/Guidelines-Risk-management-principles-UCITS</a></del></p> <p><a href="https://www.esma.europa.eu/system/files_force/library/2015/11/09_178.pdf">https://www.esma.europa.eu/system/files_force/library/2015/11/09_178.pdf</a></p>                                     | Handbook Text Change Request | 17/3/2016                |
| <a href="#">EG 10.1</a>  | <p>Correction to renumbering of EG in accordance with FSA 2008/68.</p> <p>EG 1.1.1 should be EG 10.1.2<br/>EG 1.1.2 should be EG 10.1.3<br/>EG 1.1.3 should be EG 19.1.1</p>   | Handbook Text Change Request | 6/4/2016                 |
| <a href="#">Glossary</a> | <p>BIPRU 125K firm, BIPRU 50K firm, BIPRU 730K Firm - glossary definition provides a link to the PRA Rulebook, but the FCA definition was deleted by FCA 2013/74 and has also been deleted in the PRA Rulebook.</p> <p>Definition has been deleted and link to the PRA Rulebook removed.</p>   | Handbook Text Change Request | 8/4/2016                 |
| <a href="#">PR 1.1</a>   | <p>Please add the following note beneath the chapter title</p> <p><b>Note:</b> ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering 'Alternative Performance Measures'. See <a href="https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf">https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf</a> "</p> | Handbook Text Change Request | 18/5/2016                |
| <a href="#">LR 1.1</a>   | <p>Please add the following note beneath the chapter title</p> <p><b>Note:</b> ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering 'Alternative Performance Measures'. See <a href="https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf">https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf</a> "</p> | Handbook Text Change Request | 18/5/2016                |

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|                               |   |                              |                          |
| <a href="#">DTR 1.1</a>       | <p>Please add the following note beneath the chapter title</p> <p><b>Note:</b> ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering 'Alternative Performance Measures'. See <a href="https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf">https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf</a> "</p>                      | Handbook Text Change Request | 18/5/2016                |
| <a href="#">DTR 1A.1</a>      | <p>Please add the following note beneath the chapter title</p> <p><b>Note:</b> ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering 'Alternative Performance Measures'. See <a href="https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf">https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf</a> "</p>                      | Handbook Text Change Request | 18/5/2016                |
| <a href="#">DTR 1B.1</a>      | <p>Please add the following note beneath the chapter title</p> <p><b>Note:</b> ESMA has also issued guidelines under article 16(3) of the ESMA Regulation covering 'Alternative Performance Measures'. See <a href="https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf">https://www.esma.europa.eu/sites/default/files/library/2015/10/2015-esma-1415en.pdf</a> "</p>                      | Handbook Text Change Request | 18/5/2016                |
| <a href="#">BIPRU 9.11.2R</a> | <p>The first note under the table</p> <p><a href="http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ccaissecuritis">http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ccaissecuritis</a><br/> <a href="http://www.bankofengland.co.uk/pru/Documents/publications/ss/2013/ss913.pdf">http://www.bankofengland.co.uk/pru/Documents/publications/ss/2013/ss913.pdf</a></p> | Handbook Text Change Request | 13/6/2016                |
| <a href="#">SYSC 4.2.1R</a>   | <p><i>The senior personnel of a common platform firm, a management company, a full-scope UK AIFM, or of the UK branch of a non-EEA bank must be of sufficiently good repute and sufficiently experienced as to ensure the sound and prudent management of the firm.</i></p>   | Handbook Text Change Request | 16/6/2016                |

| Handbook reference           | Text of change made   | Reason for change            | Published date of change |
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| <a href="#">SUP 17.2.3</a>   | The <i>regulated markets</i> and <i>MTFs</i> that report <i>transactions</i> undertaken on their systems to the <i>FCA</i> are listed on the <i>FCA's</i> website at: <del><a href="http://www.fca.org.uk/firms/systems-reporting/transaction-reporting/ice-feed">http://www.fca.org.uk/firms/systems-reporting/transaction-reporting/ice-feed</a></del> . <a href="https://www.the-fca.org.uk/markets/transaction-reporting/ice-futures-europe-form">https://www.the-fca.org.uk/markets/transaction-reporting/ice-futures-europe-form</a>  | Handbook Text Change Request | 20/6/2016                |
| <a href="#">SUP 12.1.4</a>   | The <i>FCA</i> has produced a leaflet <del>web page</del> entitled " <del>Becoming an appointed representative</del> <u>Appointed representatives and principals</u> " which provides a comprehensive summary of some of the main features of the appointed representative regime. You <del>may download a copy of this leaflet from</del> <u>can view this page on</u> our website at <del><a href="http://www.fca.org.uk/your-fca/documents/factsheet-becoming-an-appointed-representative">http://www.fca.org.uk/your-fca/documents/factsheet-becoming-an-appointed-representative</a></del> . <a href="https://www.the-fca.org.uk/firms/appointed-representatives-principals">https://www.the-fca.org.uk/firms/appointed-representatives-principals</a> . | Handbook Text Change Request | 20/6/2016                |
| <a href="#">SUP 13A.7</a>    | <del><a href="https://www.fca.org.uk/firms/about-authorisation/getting-authorised">https://www.fca.org.uk/firms/about-authorisation/getting-authorised</a></del><br><a href="https://www.fca.org.uk/firms/authorisation">https://www.fca.org.uk/firms/authorisation</a>   | Handbook Text Change Request | 9/11/2016                |
| <a href="#">SYSC 19D.3.3</a> | <del><a href="https://www.fca.org.uk/firms/being-regulated/remuneration-codes">https://www.fca.org.uk/firms/being-regulated/remuneration-codes</a></del><br><a href="https://www.fca.org.uk/firms/remuneration">https://www.fca.org.uk/firms/remuneration</a>   | Handbook Text Change Request | 9/11/2016                |
| <a href="#">PROD 3.1</a>     | [ <u>Note: ESMA has also issued guidelines under article 16(1) of the ESMA Regulation covering: "MiFID II product governance requirements", dated 5<sup>th</sup> February 2018.</u><br><u>See <a href="https://www.esma.europa.eu/sites/default/files/library/esma35-43-620_guidelines_on_mifid_ii_product_governance_requirements_0.pdf">https://www.esma.europa.eu/sites/default/files/library/esma35-43-620_guidelines_on_mifid_ii_product_governance_requirements_0.pdf</a>.</u> ]  | Handbook Text Change Request | 10/5/2018                |
| <a href="#">Glossary</a>     | Accredited Bodies<br><br>any of the following bodies recognised by the FCA the purpose of providing the independent verification required under TC 2.1.27 R<br>(a) CFA Society of the UK;<br>(b) The Chartered Insurance Institute;   | Administrative change        | 16/4/2018                |

| Handbook reference              | Text of change made  | Reason for change            | Published date of change |
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|                                 | <p><del>(c) The Institute of Financial Planning (accredited body until 31 October 2015)140;</del><br/>           (d) The Chartered Institute for Securities and Investment;<br/>           (e) The Chartered Institute of Bankers in Scotland;<br/>           (f) The London Institute of Banking &amp; Finance137;<br/> <del>(g) The Institute of Chartered Accountants in England and Wales;</del><br/>           (h) The Pensions Management Institute.</p>   |                              |                          |
| <a href="#">Glossary</a>        | <p>Payment service provider</p> <p>(1) (except in <i>DISP</i>) (in accordance with regulation 2(1) of <i>the Payment Services Regulations</i>) any of the following <i>persons</i> when they carry out a <i>payment service</i>:</p> <p>(a) an <i>authorised payment institution</i>;<br/>           (b) a <i>small payment institution</i>;<br/>           (ba) a <i>registered account information service provider</i>;<br/>           (c) an <i>EEA authorised payment institution</i>;<br/>           (ca) an <i>EEA registered account information service provider</i>.</p> | Administrative change        | 13/4/2018                |
| <a href="#">FEES 7A.3.3 (6)</a> | <p>FCA 2018/32 inserts rule FEES 7A.3.3, which erroneously shows that there should be a link to FEES 4.27HR. This should be FEES 4.2.7HR.</p> <p>(6) modify the result as indicated by (if applicable) FEES 4.2.7ER, FEES 4.2.7FR, FEES 4.2.7GR, <del>FEES 4.27HR</del> <u>FEES 4.2.7HR</u>, FEES 4.2.7IR, FEES 4.2.7JG and FEES 4.2.7KR;</p>  | Handbook Text Change Request | 11/7/2018                |
| <a href="#">SYSC 3.1.6</a>      | <p>'Competent employees rule' subheading above SYSC 3.1.6R was included in FCA 2018/25 without underlining. For the avoidance of doubt, the heading has been added in.</p>   | Administrative change        | 28/9/2018                |
| <a href="#">BIPRU 1 Annex 2</a> | <p><del><a href="https://www.handbook.fca.org.uk/useful-links">https://www.handbook.fca.org.uk/useful-links</a></del><br/> <a href="http://www.fsa.gov.uk/pubs/international/app_pack_irb.pdf">http://www.fsa.gov.uk/pubs/international/app_pack_irb.pdf</a></p>   | Hyperlink change             | 5/10/2018                |

| Handbook reference              | Text of change made  | Reason for change | Published date of change |
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| <a href="#">BIPRU 1 Annex 3</a> | <a href="https://www.handbook.fca.org.uk/useful-links">https://www.handbook.fca.org.uk/useful-links</a><br><a href="http://www.fsa.gov.uk/pubs/international/app_pack">http://www.fsa.gov.uk/pubs/international/app_pack</a> | Hyperlink change  | 5/10/2018                |

This document was last updated in October 2018.

If you have any comments on this list please email [handbook.feedback@fca.org.uk](mailto:handbook.feedback@fca.org.uk).