

## 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

Handbook reference	Text of change made	Reason for change	Published date of change
<a href="#">COBS 14.3A.3</a>	[ <b>Note:</b> article 24(4)(b) and article <del>25</del> <u>24</u> (5) of MiFID]	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:  (a) a professional client; or  (b) an eligible counterparty;  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	22/02/2016
<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>  <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>  <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>  <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>  <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

Handbook reference	Text of change made	Reason for change	Published date of change
<a href="#">COBS 9.1</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> <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>	<del><a href="http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ecaissecuritisation.pdf">http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ecaissecuritisation.pdf</a></del> <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>	<del><a href="http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ecaissecuritisation.pdf">http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ecaissecuritisation.pdf</a></del> <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>	<del><a href="http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ecaissecuritisation.pdf">http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ecaissecuritisation.pdf</a></del> <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>	<del><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></del> <a href="https://www.esma.europa.eu/system/files_force/library/2015/11/10-049_cesr_guidelines_mmf_with_disclaimer.pdf">https://www.esma.europa.eu/system/files_force/library/2015/11/10-049_cesr_guidelines_mmf_with_disclaimer.pdf</a>	Handbook Text Change Request	17/3/2016
<a href="#">COLL 5.3</a>	<del><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></del>	Handbook Text Change Request	17/3/2016

Handbook reference	Text of change made	Reason for change	Published date of change
	<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>	<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> <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>	Handbook Text Change Request	17/3/2016
<a href="#">EG 10.1</a>	Correction to renumbering of EG in accordance with FSA 2008/68.  EG 1.1.1 should be EG 10.1.2 EG 1.1.2 should be EG 10.1.3 EG 1.1.3 should be EG 19.1.1	Handbook Text Change Request	6/4/2016
<a href="#">Glossary</a>	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.  Definition has been deleted and link to the PRA Rulebook removed.	Handbook Text Change Request	8/4/2016
<a href="#">PR 1.1</a>	Please add the following note beneath the chapter title  "Note: 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> "	Handbook Text Change Request	18/5/2016
<a href="#">LR 1.1</a>	Please add the following note beneath the chapter title  "Note: 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> "	Handbook Text Change Request	18/5/2016

Handbook reference	Text of change made	Reason for change	Published date of change
<a href="#">DTR 1.1</a>	Please add the following note beneath the chapter title  <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> "	Handbook Text Change Request	18/5/2016
<a href="#">DTR 1A.1</a>	Please add the following note beneath the chapter title  <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> "	Handbook Text Change Request	18/5/2016
<a href="#">DTR 1B.1</a>	Please add the following note beneath the chapter title  <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> "	Handbook Text Change Request	18/5/2016
<a href="#">BIPRU 9.11.2R</a>	The first note under the table <a href="http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ecaissecuritis">http://www.bankofengland.co.uk/publications/Documents/other/pru/policy/2013/ecaissecuritis</a> <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	13/6/2016
<a href="#">SYSC 4.2.1R</a>	<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>	Handbook Text Change Request	16/6/2016

Handbook reference	Text of change made	Reason for change	Published date of change
<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> . <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></del>	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> . <del><a href="https://www.the-fca.org.uk/firms/appointed-representatives-principals">https://www.the-fca.org.uk/firms/appointed-representatives-principals</a></del> .	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> <del><a href="https://www.fca.org.uk/firms/authorisation">https://www.fca.org.uk/firms/authorisation</a></del>	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> <del><a href="https://www.fca.org.uk/firms/remuneration">https://www.fca.org.uk/firms/remuneration</a></del>	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> <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	10/05/2018
<a href="#">Glossary</a>	Accredited Bodies  any of the following bodies recognised by the FCA the purpose of providing the independent verification required under TC 2.1.27 R (a) CFA Society of the UK; (b) The Chartered Insurance Institute;	Administrative change	16/04/2018

Handbook reference	Text of change made	Reason for change	Published date of change
	<p><del>(c) The Institute of Financial Planning (accredited body until 31 October 2015)140;</del>            (d) The Chartered Institute for Securities and Investment;            (e) The Chartered Institute of Bankers in Scotland;            (f) The London Institute of Banking &amp; Finance137;  <del>(g) The Institute of Chartered Accountants in England and Wales;</del>            (h) The Pensions Management Institute.</p>		
<p><a href="#">Glossary</a></p>	<p>Payment service provider</p> <p>(1) (except in <i>DISP</i>) (in accordance with regulation 2(1) of the <i>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>;            (b) a <i>small payment institution</i>;            (ba) a <i>registered account information service provider</i>;            (c) an <i>EEA authorised payment institution</i>;            (ca) an <i>EEA registered account information service provider</i>.</p>	<p>Administrative change</p>	<p>13/04/2018</p>

This document was last updated in March 2018.

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