

## 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 |
|--------------------|---|-----------------------|--------------------------|
| CONRED 4 Annex 18G | Summary of scheme flow diagram [CONRED <del>4.1.11R</del> <u>4.1.11G</u> ]  | Administrative change | 12/01/2023               |
| COBS 4 Annex 3R    | I am aware that it is open to me <u>to</u> seek advice from an authorised person who specialises in advising on non-readily realisable securities.                                    | Typesetting error     | 14/02/2023               |
| SYSC 19G.6.4(2)(b) | (b) the payment of <del>performance</del> <u>performance</u> -based remuneration is spread over a period that takes account of the business cycle of the firm and its business risks. | Administrative change | 14/02/2023               |
| CONRED 3.2.5R      | CONRED 3.2.5R is missing the 'R' (i.e. for Rule)  | Typesetting error     | 23/02/2023               |
| DISP 3.7.4R        | Please can you add the following row?   | Administrative change | 08/03/2023               |

|              |   |                                |                          |  |            |
|--------------|---|--------------------------------|--------------------------|--|------------|
|              | <b>date complaint referred</b>  | <b>date of act or omission</b> |                          |  |            |
|              |   | before 1 April 2019            | on or after 1 April 2019 |  |            |
|              | ...   |                                |                          |  |            |
|              | on or after 1 April 2022  | £170,000                       | £375,000                 |  |            |
|              | <u>on or after 1 April 2023</u>   | <u>£190,000</u>                | <u>£415,000</u>          |  |            |
| DISP 2.1.6A  | This chapter applies to <del>a</del> <u>any TP firm who is or was, at the time of the act or omission, giving rise to the claim against it, a TP firm.</u> This rule demonstrates the contrary intention under GEN 2.2.26R. |                                |                          | Administrative change  | 18/05/2023 |
| GEN 2.1.2    | GEN 2.1.2 <u>R</u>  |                                |                          | Administrative change  | 28/07/2023 |
| UNFCOG 2.1.1 | Link in text is broken. Please replace with <a href="https://www.fca.org.uk/firms/unfair-contract-terms/library">https://www.fca.org.uk/firms/unfair-contract-terms/library</a>   |                                |                          | Broken link  | 02/8/2023  |
| Glossary     | Reinstate introductory wording in definition of 'controlled' activity:  |                                |                          | Administrative change – text was inadvertently removed from the online | 17/08/2023 |

|                  |   |                                 |            |
|------------------|---|---------------------------------|------------|
|                  | <p><u>(in accordance with section 21(9) of the Act (The classes of activity and investment)) any of the following activities specified in Part 1 of Schedule 1 to the Financial Promotions Order (Controlled Activities):</u></p> <p>(a) <i>accepting deposits</i> (paragraph 1)</p> <p>...</p> | version of the Handbook.        |            |
| SYSC 6.1 and 8.1 | <p>Link in opening note for both chapters is broken. Please replace with: <a href="#">esma35-36-1946 final report guidelines on certain aspects of the mifid ii compliance function.pdf (europa.eu)</a></p>   | Replacing outdated link         | 8/9/2023   |
| COBS 9A.2.15     | [ <b>Note:</b> article <del>54(8)</del> <u>54(6)</u> of the <i>MiFID Org Regulation</i> ]   | Correcting administrative error | 20/09/2023 |
| COBS 9A.2.18A    | [ <b>Note:</b> article <del>13</del> <u>9(7)</u> of the <i>IDD Regulation</i> ]   | Correcting administrative error | 20/09/2023 |
| COBS 9A.2.19     | [ <b>Note:</b> article <del>54(13)</del> <u>54(9)</u> of the <i>MiFID Org Regulation</i> ]  | Correcting administrative error | 20/09/2023 |
| COBS 9A.2.20     | [ <b>Note:</b> article <del>54(13)</del> <u>54(10)</u> of the <i>MiFID Org Regulation</i> ]   | Correcting administrative error | 20/09/2023 |
| COBS 9A.2.20A    | [ <b>Note:</b> article <del>13</del> <u>9(6)</u> of the <i>IDD Regulation</i> ]   | Correcting administrative error | 20/09/2023 |
| COBS 9A.2.23     | [ <b>Note:</b> article <del>54(13)</del> <u>second paragraph of article 54(1)</u> of the <i>MiFID Org Regulation</i> ]  | Correcting administrative error | 20/09/2023 |

|              |   |  |            |
|--------------|---|--|------------|
| COBS 9A.2.24 | [ <b>Note:</b> article <del>13</del> <u>12</u> of the <i>IDD Regulation</i> ]   | Correcting administrative error  | 20/09/2023 |
| COBS 9A.3.1  | [ <b>Note:</b> article <del>54(13)</del> <u>first paragraph of article 54(1)</u> of the <i>MiFID Org Regulation</i> ] | Correcting administrative error  | 20/09/2023 |
| COBS 9A.3.1A | [ <b>Note:</b> article <del>13</del> <u>11</u> of the <i>IDD Regulation</i> ]   | Correcting administrative error  | 20/09/2023 |
| COBS 9A.3.3  | [ <b>Note:</b> article <del>54(13)</del> <u>54(12)</u> of the <i>MiFID Org Regulation</i> ]                           | Correcting administrative error  | 20/09/2023 |
| COBS 9A.3.3A | [ <b>Note:</b> article <del>13</del> <u>14(1) to (3)</u> of the <i>IDD Regulation</i> ]                               | Correcting administrative error  | 20/09/2023 |
| COBS 9A.3.8  | [ <b>Note:</b> article <del>54(13)</del> <u>52(5)</u> of the <i>MiFID Org Regulation</i> ]                            | Correcting administrative error  | 20/09/2023 |
| COBS 9A.3.10 | [ <b>Note:</b> article <del>13</del> <u>14(4)</u> of the <i>IDD Regulation</i> ]                                      | Correcting administrative error  | 20/09/2023 |
| COBS 9A.4.3  | [ <b>Note:</b> article <del>13</del> <u>19(1)</u> of the <i>IDD Regulation</i> ]                                      | Correcting administrative error  | 20/09/2023 |
| COBS 9A.4.4  | Delete COBS 9A.4.4EU  | Correcting administrative error – COBS 9A.4.4EU duplicates COBS 9A.4.4UK | 20/09/2023 |

|                                      |   |  |            |
|--------------------------------------|---|--|------------|
| Glossary of definitions, 'own funds' | <p>...</p> <p>(5) (except in <i>MIFIDPRU</i>) has the meaning in article 4(1)(118) of the <del><i>ERR</i></del> <u><i>UK CRR</i></u>, as it applied on 31 December 2021.</p> <p>...</p> | Administrative error – 'UK' was inadvertently removed from 'UK CRR' in the definition of 'own funds' | 11/12/2023 |
|--------------------------------------|---|--|------------|

This document was last updated in December 2023.

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