

**LEGAL CUTOVER (FCA AND PRA HANDBOOK MISCELLANEOUS  
AMENDMENTS NO 2) INSTRUMENT 2013**

**WHEREAS:**

- A. The Authority has, in accordance with Article 5 of the Designation Order, appointed persons to exercise functions referred to in Article 5(1) of the Designation Order, which include the function of the Financial Conduct Authority of designating or modifying a Relevant Instrument and the functions of making rules and issuing guidance.
- B. By virtue of Article 5(3)(a) of the Designation Order the persons appointed may discharge the relevant functions as if they were the governing body of the Financial Conduct Authority.
- C. By virtue of Article 7(1) of the Designation Order this Instrument shall be treated as if it had been made by the Financial Conduct Authority acting through its governing body.
- D. Article 2(1)(c) of the Early Commencement Order commenced certain of the Financial Conduct Authority's rule making and other powers for the purposes specified in Part 3 of the Schedule to that Order.
- F. Article 2(1)(c) of the Early Commencement Order commenced certain of the Prudential Regulation Authority's rule making and other powers for the purposes specified in Part 3 of the Schedule to that Order.

**Interpretation**

1 In this Instrument (including the Recitals):

- (1) "Designation Order" means the Financial Services Act 2012 (Transitional Provisions) (Rules and Miscellaneous Provisions) Order 2013 (SI 2013/161);
- (2) "Early Commencement Order" means the Financial Services Act 2012 (Commencement No. 1) Order 2013 (SI 2013/113);
- (3) "the 2000 Act" means the Financial Services and Markets Act 2000;
- (4) "the 2012 Act" means the Financial Services Act 2012;
- (5) "the Authority" means the Financial Services Authority;
- (6) "Financial Conduct Authority" means the body corporate referred to in section 1A of the 2000 Act as amended by section 6 of the 2012 Act;
- (7) "Prudential Regulation Authority" means the body corporate referred to in section 2A(1) of the 2000 Act as amended by section 6 of the 2012 Act;
- (8) "PRA Relevant Instrument" means a Relevant Instrument designated by the Prudential Regulation Authority under the powers in Article 3(1) of the Designation Order.
- (9) "Relevant Instrument" has the meaning in section 119(6)(b) of the 2012 Act.

**Rules etc. made, given or amended by the Financial Conduct Authority**

- 2 In accordance with Article 2(1)(c) of the Early Commencement Order and in the exercise of the powers and related provisions specified in paragraph 3, the Financial Conduct Authority amends each FCA provision in the Annexes to this Instrument.
- 3 The Financial Conduct Authority amends the provisions in paragraph 2 in exercise of the powers and related provisions of the 2000 Act, as amended by the 2012 Act, and of other enactments as amended by or under the 2012 Act, listed in column 2 of Parts 1 to 10 of Schedule A to this Instrument.
- 4 The rule-making powers in paragraph 3 are specified for the purpose of section 138G (Rule-making instruments) of the 2000 Act, as amended by the 2012 Act.

**Commencement: Financial Conduct Authority**

- 5 The Financial Conduct Authority directs that paragraph 2 of this Instrument comes into force on 1 April 2013.

**Rules etc. made, given or amended by the Prudential Regulation Authority**

- 6 In accordance with Article 2(1)(c) of the Early Commencement Order and in the exercise of the powers and related provisions specified in paragraph 7, the Prudential Regulation Authority amends each PRA provision in the Annexes to this Instrument.
- 7 The Prudential Regulation Authority amends the provisions in paragraph 6 in exercise of the powers and related provisions of the 2000 Act, as amended by the 2012 Act, and of other enactments as amended by or under the 2012 Act, listed in column 3 of Parts 1 to 10 of Schedule A to this Instrument.
- 8 The rule-making powers in paragraph 6 are specified for the purpose of section 138G (Rule-making instruments) of the 2000 Act, as amended by the 2012 Act.
- 9 The Prudential Regulation Authority gives as guidance each PRA provision in the Annexes to this instrument that makes an amendment to a provision identified as “PRA” or “FCA/PRA” in a PRA Relevant Instrument.

**Commencement: Prudential Regulation Authority**

- 10 The Prudential Regulation Authority directs that paragraphs 6 and 9 of this Instrument comes into force on 1 April 2013.

**Citation**

- 11 This Instrument may be cited as the Legal Cutover (FCA and PRA Handbook Miscellaneous Amendments No 2) Instrument 2013.

**By order of the persons appointed under Article 5 of the Designation Order to discharge specified functions of the Financial Conduct Authority as if they were its governing body**

19 March 2013

**By order of the Board of the Prudential Regulation Authority**

22 March 2013

## Amendments to the Handbook

The modules of the FCA and PRA Handbooks of rules and guidance listed in column (1) below are amended in accordance with the Annexes to this instrument listed in column (2).

(1)	(2)
SYSC	Annex A
FIT	Annex B
TC	Annex C
GEN	Annex D
BIPRU	Annex E
MIPRU	Annex F
IPRU - FSOC	Annex G
IPRU - INV	Annex H
COBS	Annex I
CASS	Annex J
SUP	Annex K
DISP	Annex L
CREDS	Annex M
PROF	Annex N
EMPS	Annex O
OMPS	Annex P
SERV	Annex Q
PERG	Annex R
SUP 16 Annexes	Annex S

## Annex A

### Amendments to cross references in the Senior Management Arrangements, Systems and Controls sourcebook (SYSC)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
2.1.6 G	SUP 10.7.1 R	10A.7.1 R	
2.1.6 G	SUP 10.1	SUP 10A.1	
3.2.9 G	SUP 10.7.8 R	10A.7.8 R	
4.4.6 G	SUP 10.7.1	10A.7.1 R	
4.4.6 G	SUP 10.1	SUP 10A.1	
5.1.5 G	SUP 10	SUP 10A and SUP 10B	

**Annex B**

**Amendments to cross references in the Fit and Proper Test for Approved Persons sourcebook (FIT)**

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
1.1.1 G	SUP 10.1.12 G	SUP 10A.1.10 G and SUP 10B.1.10 G	
1.1.1 G	SUP 10.1.13 R	SUP 10A.1.11 R and SUP 10B.1.11 R	
1.1.1 G	SUP 10.1.14 R	SUP 10A.1.13 R SUP 10B.1.12 R	
1.1.2 G	SUP 10	SUP 10A and SUP 10B	
1.2.2 G	SUP 10	SUP 10A and SUP 10B	
2.1.1 G	SUP 10.13.16 R	SUP 10A.14.17 R and SUP 10B.12.18 R	

## Annex C

### Amendments to cross references in the Training and Competence sourcebook (TC)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
2.1.9 R	SUP 10.10.7B R	SUP 10A.10.8 R	

**Annex D**

**Amendments to cross references in General Provisions (GEN)**

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
1.3.5 G	EG 8 (Variation and cancellation of permission on the FSA's own initiative and intervention against incoming firms)	EG 8 (Variation and cancellation of permission and imposition of requirements on the FCA's own initiative and intervention against incoming firms)	
TP 1.3 (3)(8)	FEES 3.2		Delete

## Annex E

### Amendments to cross references in the Prudential sourcebook for Banks, Building Societies and Investment Firms (BIPRU)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
12.3.9 G	COND 2.5.7 G (6)		Delete
12.3.9 G	Threshold condition 5	Threshold condition 2E, 3D, 4E or 5E as applicable	



## Annex F

### **Amendments to cross references in the Prudential sourcebook for Mortgage and Home Finance Firms, and Insurance intermediaries (MIPRU)**

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
2.2.3 G	SUP 10.1.21 R	SUP 10A.1.18 R	

## Annex G

### Amendments to cross references in the Interim Prudential sourcebook for Friendly Societies (IPRU-FSOC)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
Initial Guidance (3) G	APER, Statements of Principle, Code of Practice	APER	

## Annex H

### **Amendments to cross references in the Interim Prudential sourcebook for Investment Business (IPRU-INV)**

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
13.1.2 G	COND (threshold condition 4)	Threshold condition 2D or 3C as applicable	

## Annex I

### Amendments to cross references in the Conduct of Business sourcebook (COBS)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
5.2.2 R	GEN 4, Annex 1 R	GEN 4 Annex 1R or GEN 4 Annex 1AR as appropriate	
6.1.5 G	GEN 4, Annex 1 R	GEN 4 Annex 1R or GEN 4 Annex 1AR as appropriate	

## Annex J

### Amendments to cross references in the Client Assets sourcebook (CASS)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
1.4.11 G	SUP 10.4.5 R	SUP 10A.4.5 R	
1.4.11 G	SUP 10.7.9 G	10A.7.9 R	

## Annex K

### Amendments to cross references in the Supervision sourcebook (SUP)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
3.2.1 G	COND 2.5.7 G (11)		Delete
4.2.5 G	COND 2.5.7 G (11)		Delete
4.3.5 G	SUP 10	SUP 10B	
4.5.11 G	SUP 10.13.6 R	10B.12.10 R	
4.5.11 G	SUP 10 Annex 6 R	10A Annex 6 R	
4.5.11 G	SUP 10.13.7 R	10B.12.12 R	
4.6.2 G	SUP 10	SUP 10B	
12.2.8 G	SUP 10.1.16 R	SUP 10A.1.15 R	
12.4.4 G	SUP 10, Annex 4	SUP 10A, Annex 4 or SUP 10B, Annex 4	
12.4.5 G	Threshold condition 3 (close links)	Threshold condition 2C or 3B as applicable	
12.4.5C R	SUP 10	SUP 10A and SUP 10B	
12.6.8 G	SUP 10.1.16 R	SUP 10A.1.15 R	
12.6.8 G	SUP 10.1.16A R	SUP 10A.1.16 R	
12.6.8 G	SUP 10.3.2 G	SUP 10A.3.2 G	
12.6.8 G	SUP 10.4.1 R	SUP 10A.4.1 R	
12.6.9 G	SUP 10.12	SUP 10A.13.1 G	
12.7.3A R	SUP 10.12.4A	SUP 10A.13.7	
App 2.3.2 G	Threshold condition 4 (Adequate resources)	Threshold condition 4D or 5D as applicable	
App 2.3.2 G	COND 2.2		Delete

## Annex L

### Amendments to cross references in the Dispute Resolution: Complaints sourcebook (DISP)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
1.10.3 G	SUP 10.13.20A R	SUP 10A.14.24 R	

**Annex M**

**Amendments to cross references in the Credit Unions New sourcebook (CREDS)**

In this Annex, in the paragraph referred to in column (1), the reference or references in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
5.1.2 G	COND 2.4		Delete
6.1.2 G	COND 2.4		Delete
8.3.8 G	SUP 10.9	SUP 10A.9	
8.3.8 G	SUP 10.9.3 G	SUP 10A.9.4 G	
10.1.3 G	SUP 1	SUP 1A	
10.1.3 G	SUP 10	SUP 10A and SUP 10B	
10.1.3 G	COAF		Delete



## Annex N

### Amendments to cross references in the Professional Firms sourcebook (PROF)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
5.3.5 G	SUP 10.1.18 R	SUP 10A.1.17 R	
5.3.5 G	SUP 10	SUP 10A	
7.2.3 G	SUP 13.3.5 G	SUP 13.3.2G to SUP 13.3.2CG and SUP 13.3.5G	
7.2.4 G	SUP 13.4.3 G		Delete

## Annex O

### Amendments to cross references in the Energy Market Participants sourcebook (EMPS)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
1.2.2 G	COAF		Delete
1.2.3 G	SUP 10.1.21 R	SUP 10A.1.18 R	
1.2.3 G	SUP 10.1.22 G	SUP 10A.1.19 G	

## Annex P

### Amendments to cross references in the Oil Market Participants sourcebook (OMPS)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
1.2.2 G	SUP 10.1.21 R	SUP 10A.1.18 R	
1.2.2 G	SUP 10.1.22 G	SUP 10A.1.19 G	

## Annex Q

### Amendments to cross references in the Service Companies sourcebook (SERV)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
1.2.2 G	SUP 10.1.21 R	SUP 10A.1.18 R	
1.2.2 G	SUP 10.1.22 G	SUP 10A.1.19 G	

## Annex R

### Amendments to cross references in the Perimeter Guidance Manual (PERG)

In this Annex, in the paragraph referred to in column (1), the reference in column (2) is replaced by the reference in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
13.7	SUP 10.1	SUP 10A.1	
13.7	APER 1.1.4 G	APER 1.1A.4 G	
13.7	APER 2.1.1A P	APER 2.1A.2 P	
13.7	COND 1.1.4 G	COND 1.1A.7 G	

**Annex S**

**Amendments to cross references in SUP 16 Annexes**

In this Annex, in the Annex referred to in column (1), the reference or words in column (2) is replaced by the reference or the words in column (3), except where indicated in column (4), unless the context otherwise requires.

(1)	(2)	(3)	(4)
Annex 6R Annex 9R Annex 12G Annex 18AR Annex 18BG Annex 27AD Annex 27BG Annex 28BG Annex 29AR	FSA	FCA	Annex 18AR, Section B2: delete FSA;  Annex 18AR, Section D1: delete FSA;  Annex 18AR, Section H: delete FSA  Annex 18BG, page 16: appropriate regulator
Annex 14(1)R Annex 14(2)R Annex 15(1)G Annex 15(2)G	FSA	PRA	Annex 15(1)G, Page 3, first paragraph (Front page): FCA  Annex 15(1)G, Page 4, 1E:

			appropriate regulator
Annex 19BG Annex 24R Annex 25G Annex 31BG	FSA	appropriate regulator	Annex 24R, FSA003, Capital Adequacy (page 5), line 14: delete FSA  Annex 24R, FSA031, Capital Adequacy, Part 4: delete FSA
Annex 24R, FSA028, Question 27	If the answer to 27 above is 'No', then you do not have to complete any more of this data item, but it still needs to be submitted to the FSA.	If the answer to 27 above is 'No', then you do not have to complete any more of this data item, but it still needs to be submitted.	
Annex 15(1)G Annex 15(2)G	Financial Services Authority	FCA	Annex 15(1)G, Page 2: PRA  Annex 15(2)G Page 2, 3 <sup>rd</sup> paragraph: PRA  Annex 15(2)G, Page 23: PRA
Annex 9R	FSA registration number	FCA registration number	
Annex 6R Annex 9R Annex 14(1)R Annex 15G	FSA Handbook	Handbook	

Annex 18BG Annex 19BG			
Annex 25G	FSA Handbook glossary	Handbook glossary	
Annex 9R Annex 14(1)R Annex 14(2)R Annex 19AR Annex 19BG Annex 21R Annex 24R Annex 25G Annex 27BG Annex 29R Annex 29AG	FSA firm reference number	Firm reference number	
Annex 24R	FSA FRN	FRN	
Annex 15G	Part IV permission	Part 4a permission	
Annex 19BG	section 16.7	section 16.12	
Annex 25G	SUP 16.7	SUP 16.12	
Annex 19BG, Section C: Capital, second paragraph	In addition, the FSA operating framework requires us to identify the main risks to our statutory objectives. (...) the specific FSA objectives that are potentially impacted are those relating to market confidence and consumer protection.	In addition, the <u>FCA</u> and the <u>PRA</u> are <u>required</u> to identify the main risks to our statutory objectives. (...) The specific <u>FCA</u> objectives that are potentially impacted are those relating to market confidence and consumer protection.	
Annex 15G, page 2	Customer Contact number 085 606 9966 and International number +44 20 7066 1000	Customer Contact number 0800 111 6768	
Annex 14(1)R Annex 14(2)R	The Financial Services Authority Revenue and Information Management Department	Regulatory Data Group Statistics and Regulatory Data Division (HO5 A-B) Bank of England Threadneedle Street London EC2R 8AH	



	<p>25 The North Colonnade Canary Wharf London E14 5HS United Kingdom</p> <p>Telephone +44 (0) 20 7066 1000</p> <p>Website <a href="http://www.fsa.gov.uk">http://www.fsa.gov.uk</a></p> <p>Registered as a Limited Company in England and Wales No 1920623. Registered Office as above</p>	<p><a href="mailto:creditunionreporting@bankofengland.co.uk">creditunionreporting@bankofengland.co.uk</a></p> <p>Fax: 020 7601 3334</p>	
Annex9R	<p>The Financial Services Authority Revenue and Information Management Department 25 The North Colonnade Canary Wharf London E14 5HS United Kingdom Telephone +44 (0) 20 7066 1000 Website <a href="http://www.fsa.gov.uk">http://www.fsa.gov.uk</a> Registered as a Limited Company in England and Wales No 1920623. Registered Office as above</p>	<p>The Financial Conduct Authority Central Reporting 25 The North Colonnade Canary Wharf London E14 5HS United Kingdom</p> <p><a href="http://www.fca.org.uk">http://www.fca.org.uk</a></p>	

**SCHEDULE A**

**Part 1**

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of the 2000 Act under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Section 59 (Approval for particular arrangements)	Section 59	Section 59
Section 72 (The competent authority)	Part VI	None
Section 73A (Part 6 Rules)	Section 73A	None
Section 74 (The official list)	Section 74	None
Section 75 (Applications for listing)	Section 75	None
Section 77 (Discontinuance and suspension of listing)	Section 77	None
Section 79 (Listing particulars and other documents)	Section 79	None
Section 80 (General duty of disclosure in listing particulars)	Section 80	None
Section 81 (Supplementary listing particulars)	Section 81	None
Section 84 (Matters which may be dealt with by prospectus rules)	Section 84	None
Section 85 (Prohibition of dealing etc in transferable securities without approved prospectus)	Section 85	None
Section 87 (Election to have prospectus)	Section 87	None
Section 87A (Criteria for	Section 87A	None

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of the 2000 Act under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
approval of prospectus by competent authority)		
Section 87B (Exemptions from disclosure)	Section 87B	None
Section 87G (Supplementary prospectus)	Section 87G	None
Section 88 (Sponsors)	Section 88	None
Section 89 (Public censure of sponsor)	Sections 88A-88F	None
Section 89A (Transparency rules)	Section 89A	None
Section 89B (Provision of voteholder information)	Section 89B	None
Section 89C (Provision of information by issuers of transferable securities)	Section 89C	None
Section 89D (Notification of voting rights held by issuer)	Section 89D	None
Section 89E (Notification of proposed amendment of issuer's constitution)	Section 89E	None
Section 89F (Transparency rules: interpretation etc)	Section 89F	None
Section 89G (Transparency rules: other supplementary provisions)	Section 89G	None
Section 89O (Corporate governance rules)	Section 89O	None

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of the 2000 Act under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Section 96 (Obligations of issuers of listed securities)	Section 96	None
Section 96A (Disclosure of information requirements)	Section 96A	None
Section 96C (Suspension of trading)	Section 96C	None
Section 99 (Fees)	Schedule 1ZA, Paragraph 23.	Schedule 1ZB, Paragraph 31.
Section 99(1) and (2) (Fees)	Schedule 1ZA, Paragraph 23.	Schedule 1ZB, Paragraph 31
Section 100 (Penalties)	Sections 312J and 312K, and schedule 1ZA, Part 2.	None
Section 101 (Part 6 rules: general provisions)	Sections 101 and 137T.	None.
Section 118(8) (Market abuse)	Section 118(8)	None
Section 136(2) (Funding of the legal assistance scheme)	Section 136(2)	None
Section 138 (General rule-making power)	Section 137A	Section 137G
Section 138(1) (General rule-making power)	Section 137A(1)	Section 137G(1)
Section 139 (Miscellaneous ancillary matters)	Section 137B	None
Section 139(4) (Miscellaneous ancillary matters)	Section 137B(3)	None
Section 139A (General rules about remuneration)	Sections 137H and 137I	Sections 137H and 137I
Section 140 (Restrictions on managers of certain collective	Section 137A(1)	Section 137G(1)

Column 1	Column 2	Column 3
<b>Provisions of the 2000 Act under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
investment schemes)		
Section 141 (Insurance business rules)	Section 137A(1)	Section 137G(1)
Section 142(2) (Insurance business: regulations supplementing Authority's rules)	Section 137A(1)	Section 137G(1)
Section 144 (Price stabilising rules)	Section 137Q	None
Section 145 (Financial promotion rules)	Section 137R	None
Section 146 (Money laundering rules)	Section 137A(1)	None
Section 147 (Control of information rules)	Section 137P	Section 137P
Section 148(3) (Modification or waiver of rules)	Section 138A(3)	Section 138A(3)
Section 149 (Evidential provisions)	Section 138C	Section 138C
Section 150(2) (Actions for damages)	Section 138D(3)	Section 138D(1)
Section 156 (General supplementary powers)	Section 137T	Section 137T
Section 213 (The compensation scheme) (including as referred to in section 216(5) (Continuity of long-term insurance policies) and section 217(7) (Insurers in financial difficulties)	Section 213	Section 213

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of the 2000 Act under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Section 214 (General)	Section 214	Section 214
Section 215 (Rights of the scheme in relevant person's insolvency)	Section 215	Section 215
Section 216 (Continuity of long-term insurance policies)	Section 216	Section 216
Section 217 (Insurers in financial difficulties)	Section 217	Section 217
Section 218(2)(b) (Annual report)	Section 218(2)(b)	Section 218(2)(b)
Section 223 (Management expenses)	Section 223	Section 223
Section 223C (Payments in error)	Section 223C	Section 223C
Section 224F (Rules about relevant schemes)	Section 224F	Section 224F
Section 226 (Compulsory jurisdiction) (including as applied by regulation 125 of the Payment Services Regulations 2009 (SI 2009/209))	Section 226	None
Section 226A(7) (Consumer credit jurisdiction)	Section 226A(7)	None
Section 229 (Awards)	Section 229	None
Section 234 (Industry funding)	Section 234	None
Section 238(5) (Restrictions on promotion)	Section 238(5)	None
Section 239 (Single property)	Section 239	None

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of the 2000 Act under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
schemes)		
Section 242 (Applications for authorisation of unit trust schemes)	Section 242	None
Section 247 (Trust scheme rules)	Section 247	None
Section 248 (Scheme particulars rules)	Section 248	None
Section 278 (Rules as to scheme particulars)	Section 278	None
Section 283(1) (Facilities and information in UK)	Section 283(1)	None
Section 293 (Notification requirements)	Section 293	Section 293
Section 293(1) (Notification requirements)	Section 293(1)	Section 293(1)
Section 295 (Notification: overseas investment exchanges and overseas clearing houses)	Section 295	Section 295
Section 300B (Duty to notify proposal to make regulatory provision)	Section 300B	Section 300B
Section 322 (Rules applicable to former underwriting members)	None	Section 322
Section 332(1) (Rules in relation to persons to whom the general prohibition does not apply)	Section 332(1)	None
Section 340 (Appointment)	Section 340	Section 340

Column 1	Column 2	Column 3
<b>Provisions of the 2000 Act under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Paragraph 17 (Fees) of Schedule 1 (The Financial Services Authority)	Schedule 1ZA, Paragraph 23.	Schedule 1ZB, Paragraph 31.
Paragraph 17(1) (Fees) of Schedule 1 (The Financial Services Authority)	Schedule 1ZA, Paragraph 23(1).	Schedule 1ZB, Paragraph 31(1).
Paragraph 12 of Part 2 (Funding) of Schedule 1A (Further provision about the Consumer Financial Education Body)	Paragraph 12 of Part 2 (Funding) of Schedule 1A (Further provision about the Consumer Financial Education Body)	None
Paragraph 12(1) (Funding of the relevant costs by authorised persons or payment service providers) of Part 2 of Schedule 1A (Further provision about the Consumer Financial Education Body)	Paragraph 12(1) (Funding of the relevant costs by authorised persons or payment service providers) of Part 2 of Schedule 1A (Further provision about the Consumer Financial Education Body)	None
Paragraphs 19 (Establishment) and 20 (Services) of Schedule 3 (EEA Passport Rights)	Paragraphs 19 (Establishment) and 20 (Services) of Schedule 3 (EEA Passport Rights)	Paragraphs 19 (Establishment) and 20 (Services) of Schedule 3 (EEA Passport Rights)
Schedule 7 (The Authority as Competent Authority for Part VI)	Part VI	None
Paragraphs 1 (General), 4 (Rules), and 7 (Fees) of Schedule 7 (The Authority as Competent Authority for Part VI)	Part VI and Schedule 1ZA Paragraph 23	None
Paragraphs 7(3) (Annual reports), 13 (Authority's procedural rules), 16B (Procedure for complaints etc)	Paragraphs 7(3) (Annual reports), 13 (Authority's procedural rules), 16B (Procedure for complaints etc)	None



Column 1	Column 2	Column 3
<b>Provisions of the 2000 Act under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
and 16D (Enforcement of money awards) of Schedule 17 (The Ombudsman Scheme)	and 16D (Enforcement of money awards) of Schedule 17 (The Ombudsman Scheme)	
Paragraph 13(4) (Authority's procedural rules) of Schedule 17 (The Ombudsman Scheme) to the Act	Paragraph 13(4) of Schedule 17	None

SCHEDULE A

Part 2

Column 1	Column 2	Column 3
<b>Provisions of other enactments under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Regulation 6(1) (FSA rules) of the Open-Ended Investment Companies Regulations 2001 (SI 2001/1228)	Regulation 6(1) (FCA rules) of the Open-Ended Investment Companies Regulations 2001 (SI 2001/1228).	None
Article 4(1) (Designation of pre-commencement provisions) of the Financial Services and Markets Act 2000 (Transitional Provisions and Savings) (Rules) Order 2001 (SI 2001/1534)	Section 137A(1)	Section 137G(1)
Article 15 (Record-keeping and reporting requirements relating to relevant complaints) of the Financial Services and Markets Act 2000 (Transitional Provisions) (Ombudsman and Complaints Scheme) Order 2001 (SI 2001/2326)	Article 15 (Record-keeping and reporting requirements relating to relevant complaints) of the Financial Services and Markets Act 2000 (Transitional Provisions) (Ombudsman and Complaints Scheme) Order 2001 (SI 2001/2326)	None
The Financial Services and Markets Act 2000 (Variation of Threshold Conditions) Order 2001 (SI 2001/2507)	None	The Financial Services and Markets Act 2000 (Variation of Threshold Conditions) Order 2001 (SI 2001/2507)
Articles 4 (Pending applications), 6 (Post-commencement applications), 9 (Article 9 defaults occurring	Articles 4 (Pending applications), 6 (Post-commencement applications), 9 (Article 9 defaults occurring	Articles 4 (Pending applications), 6 (Post-commencement applications), 9 (Article 9 defaults occurring

Column 1	Column 2	Column 3
<p><b>Provisions of other enactments under which the Authority made rules</b></p>	<p><b>Corresponding provisions: Financial Conduct Authority</b></p>	<p><b>Corresponding provisions: Prudential Regulation Authority</b></p>
<p>before commencement), 9A (Contributions in relation to mesothelioma claims), 10 (Applications in respect of compulsory liability insurance), 12 (Applications under the new scheme) and 23 (Record-keeping and reporting requirements relating to pre-commencement) of the Financial Services and Markets Act 2000 (Transitional Provisions, Repeals and Savings) (Financial Services Compensation Scheme) Order 2001 (SI 2001/2967).</p>	<p>before commencement), 9A (Contributions in relation to mesothelioma claims), 10 (Applications in respect of compulsory liability insurance), 12 (Applications under the new scheme) and 23 (Record-keeping and reporting requirements relating to pre-commencement) of the Financial Services and Markets Act 2000 (Transitional Provisions, Repeals and Savings) (Financial Services Compensation Scheme) Order 2001 (SI 2001/2967).</p>	<p>before commencement), 9A (Contributions in relation to mesothelioma claims), 10 (Applications in respect of compulsory liability insurance), 12 (Applications under the new scheme) and 23 (Record-keeping and reporting requirements relating to pre-commencement) of the Financial Services and Markets Act 2000 (Transitional Provisions, Repeals and Savings) (Financial Services Compensation Scheme) Order 2001 (SI 2001/2967).</p>
<p>Articles 9 (Designation of existing provisions to take effect as rules) and 10 (Modifications of existing provisions) of the Financial Services and Markets Act 2000 (Consequential Amendments and Transitional Provisions) (Credit Unions) Order 2002 (SI 2002/1501)</p>	<p>Section 137A(1)</p>	<p>Section 137G(1)</p>
<p>Regulation 3 (Consumer contract requirements: modification of rule-making powers) of the Electronic Commerce Directive (Financial Services and Markets) Regulations 2002 (SI 2002/1775)</p>	<p>Regulation 3 (Consumer contract requirements: modification of rule-making powers) of the Electronic Commerce Directive (Financial Services and Markets) Regulations 2002 (SI 2002/1775)</p>	<p>None</p>

Column 1	Column 2	Column 3
<b>Provisions of other enactments under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Regulation 2 (Power of the Authority to make rules under section 138 of the Financial Services and Markets Act 2000) of the Financial Services and Markets Act 2000 (Fourth Motor Insurance Directive) Regulations 2002 (SI 2002/2706)	Regulation 2 (Power of the Authority to make rules under section 138 of the Financial Services and Markets Act 2000) of the Financial Services and Markets Act 2000 (Fourth Motor Insurance Directive) Regulations 2002 (SI 2002/2706).	None.
Article 9 (Record-keeping and reporting requirements relating to relevant transitional complaints) of the Financial Services and Markets Act 2000 (Transitional Provisions) (Complaints Relating to General Insurance and Mortgages) Order (SI 2004/454)	Article 9 (Record-keeping and reporting requirements relating to relevant transitional complaints) of the Financial Services and Markets Act 2000 (Transitional Provisions) (Complaints Relating to General Insurance and Mortgages) Order (SI 2004/454).	None
Regulation 2(3) (Application for permission) of the Capital Requirements Regulations 2006 (SI 2006/3221)	Regulation 2(3) (Application for permission) of the Capital Requirements Regulations 2006 (SI 2006/3221)	Regulation 2(3) (Application for permission) of the Capital Requirements Regulations 2006 (SI 2006/3221)
Regulation 82 (Reporting requirements) of the Payment Services Regulations 2009 (SI 2009/209)	Regulation 82 (Reporting requirements) of the Payment Services Regulations 2009 (SI 2009/209).	None
Regulations 86 (Proposal to take disciplinary measures) and 93 (Guidance) of and paragraph 1 of Schedule 5 (Disciplinary powers) to the Payments Services Regulations 2009 (SI	Regulations 86 (Proposal to take disciplinary measures) and 93 (Guidance) of and paragraph 1 of Schedule 5 (Disciplinary powers) to the Payments Services	None

Column 1	Column 2	Column 3
<b>Provisions of other enactments under which the Authority made rules</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
2009/209)	Regulations 2009 (SI 2009/209).	
Regulation 92 (Costs of supervision) of the Payment Services Regulations 2009 (SI 2009/209)	Regulation 92 (Costs of supervision) of the Payment Services Regulations 2009 (SI 2009/209).	None
Regulation 49 (Reporting requirements) of the Electronic Money Regulations 2011 (SI 2011/99).	Regulation 49 (Reporting requirements) of the Electronic Money Regulations 2011 (SI 2011/99).	None
Regulation 59 (Costs of supervision) of the Electronic Money Regulations 2011 (SI 2011/99).	Regulation 59 (Costs of supervision) of the Electronic Money Regulations 2011 (SI 2011/99).	None
Articles 3 (Further power for Authority to make rules concerning mesothelioma claims) and 4 (Modification of FSMA in relation to FSA rules for mesothelioma claims) of the Compensation Act 2006 (Contribution for Mesothelioma Claims) Regulations 2006 (SI 2006/3259)	None	Article 3 (Further power for PRA to make rules concerning mesothelioma claims) and 4 (Modification of FSMA in relation to FSA rules for mesothelioma claims) of the Compensation Act 2006 (Contribution for Mesothelioma Claims) Regulations 2006 (SI 2006/3259).
Regulations 8 (Applications for registration), 9 (Applications for admission to the register of issuers), 18 (Notification requirements), 20 (Material changes to the regulated covered bond), 24 (Requirements relating to the asset pool), 25 (Change of owner), 36 (financial penalties)	Regulations 8 (Applications for registration), 9 (Applications for admission to the register of issuers), 18 (Notification requirements), 20 (Material changes to the regulated covered bond), 24 (Requirements relating to the asset pool), 25 (Change of owner), 36 (financial penalties)	None

Column 1	Column 2	Column 3
<p><b>Provisions of other enactments under which the Authority made rules</b></p>	<p><b>Corresponding provisions: Financial Conduct Authority</b></p>	<p><b>Corresponding provisions: Prudential Regulation Authority</b></p>
<p>policy statement), 46 (Modifications of primary and secondary legislation) of, and paragraph 5 (fees) to the Schedule (Modifications to primary and secondary legislation) to, the Regulated Covered Bonds Regulations 2008 (SI 2008/346)</p>	<p>policy statement), 46 (Modifications of primary and secondary legislation) of, and paragraph 5 (fees) to the Schedule (Modifications to primary and secondary legislation) to, the Regulated Covered Bonds Regulations 2008 (SI 2008/346).</p>	

**SCHEDULE A**

**Part 3**

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of the 2000 Act under which the Authority issued codes</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Section 64(2) (Conduct: statements and codes)	Section 64(2)	Section 64(2)
Section 119 (The code)	Section 119	None
Section 120 (Provisions included in the Authority's code by reference to the City Code)	Section 120	None
Section 121 (Codes: procedure)	Section 121	None

SCHEDULE A

Part 4

Column 1	Column 2	Column 3
<b>Provisions of the 2000 Act under which the Authority issued statements</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Section 63C(1) (Statement of policy)	Section 63C(1)	Section 63C(1)
Section 64 (Conduct: statements and codes)	Section 64	Section 64
Section 64(1) (Conduct: statements and codes)	Section 64(1)	Section 64(1A)
Section 69 (Statement of policy) (including as applied by paragraph 1 of Schedule 5 to the Payment Services Regulations 2009 (SI 2009/209) and paragraph 1 of Schedule 3 to the Electronic Money Regulations 2011 (SI 2011/99).)	Section 69	Section 69
Section 69(1) (Statement of policy)	Section 69(1)	Section 69(1)
Section 93 (Statement of policy)	Section 93	None
Section 93(1) (Statement of policy)	Section 93(1)	None
Section 124 (Statement of policy)	Section 124	None
Section 124(1) (Statement of policy)	Section 124(1)	None
Section 131J(1) (Statement of policy)	Section 131J(1)	None
Section 165B(6) (Safeguards etc in relation to exercise of power)	None	Section 165B(6)



Column 1	Column 2	Column 3
<b>Provisions of the 2000 Act under which the Authority issued statements</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
under section 165A)		
Section 169(9) (Investigations etc in support of overseas regulator) (including as applied by paragraph 3 of Schedule 5 to the Payment Services Regulations 2009 (SI 2009/209) and paragraph 3 of Schedule 3 to the Electronic Money Regulations 2011 (SI 2011/99).)	Section 169(9)	Section 169(9)
Section 210 (Statements of policy) (including as applied by regulation 86(6) of the Payment Services Regulations 2009 (SI 2009/209) and regulation 53 (6) of the Electronic Money Regulations 2011 (SI 2011/99).)	Section 210	Section 210
Section 210(1) (Statements of policy)	Section 210(1)	Section 210(1)
Section 395 (The Authority's procedures) (including as applied by paragraph 7 of Schedule 5 to the Payment Services Regulations 2009 (SI 2009/209) and paragraph 8 of Schedule 3 to the Electronic Money Regulations 2011 (SI 2011/99).)	Section 395	Section 395
Section 395(5) (The Authority's procedures)	Section 395(5)	Section 395(5)
Section 404(3) (Consumer redress schemes)	Section 404(3)	None
Section 404A (Rules under s404:	Section 404A	None

Column 1	Column 2	Column 3
<b>Provisions of the 2000 Act under which the Authority issued statements</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
supplementary)		

**SCHEDULE A**

**Part 5**

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of other enactments under which the Authority issued statements</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Regulation 42 (Guidance) of the Regulated Covered Bonds Regulations 2008 (SI 2008/346)	Regulation 42 (Guidance) of the Regulated Covered Bonds Regulations 2008 (SI 2008/346).	None
Regulation 44 (Warning notices and decision notices) of the Regulated Covered Bonds Regulations 2008 (SI 2008/346)	Regulation 44 (Warning notices and decision notices) of the Regulated Covered Bonds Regulations 2008 (SI 2008/346).	None
Regulation 93 (Guidance) of the Payment Services Regulations 2009 (SI 2009/209)	Regulation 93 (Guidance) of the Payment Services Regulations 2009 (SI 2009/209).	None
Regulation 60 (Guidance) of the Electronic Money Regulations 2011 (SI 2011/99).	Regulation 60 (Guidance) of the Electronic Money Regulations 2011 (SI 2011/99).	None

**SCHEDULE A**

**Part 6**

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of the 2000 Act under which the Authority directed, required or specified:</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Section 51 (Applications under this Part)	Section 55U	Section 55U
Section 60 (Applications for approval)	Section 60	Section 60
Section 148(3) (Modification or waiver of rules)	Section 138A(3)	Section 138A(3)
Section 182 (Notification)	Section 179	None
Section 218A (Authority's power to require information)	Section 218A	Section 218A
Section 242 (Applications for authorisation of unit trust schemes)	Section 242	None
Section 250 (Modification or waiver of rules)	Section 250	None
Sections 250(4) and (5) (Modification or waiver of rules)	Sections 250(4) and (5)	None
Section 270(6)(b) (Schemes authorised in designated countries or territories)	Section 270(6)(b)	None
Section 274 (Applications for recognition of individual schemes)	Section 274	None
Section 287 (Application by an investment exchange)	Section 287	None
Section 294 (Modification or waiver of rules)	Section 294	Section 294

Column 1	Column 2	Column 3
<b>Provisions of the 2000 Act under which the Authority directed, required or specified:</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Section 294(2) (Modification or waiver of rules)	Section 294(2)	Section 294(2)
Section 316 (Direction by Authority)	Section 316	Section 316
Section 317 (The core provisions)	Section 317	Section 317
Section 318 (Exercise of powers through Council)	Section 318	Section 318
Paragraph 5(4) (Notice to Authority) of Schedule 4 (Treaty Rights)	Paragraph 5(4) (Notice to UK Regulator) of Schedule 4 (Treaty Rights)	Paragraph 5(4) (Notice to UK Regulator) of Schedule 4 (Treaty Rights)

**SCHEDULE A**

**Part 7**

Column 1	Column 2	Column 3
<b>Provisions of other enactments under which the Authority directed, required or specified</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Regulations 7(3) and (4) (Modification or waiver of FSA rules) and 12 (Application for authorisation) of the Open-Ended Investment Companies Regulations 2001 (SI 2001/1228)	Regulations 7(3) and (4) (Modification or waiver of FSA rules) and 12 (Application for authorisation) of the Open-Ended Investment Companies Regulations 2001 (SI 2001/1228).	<b>None</b>
Regulation 49 (Reporting requirements) of the Electronic Money Regulations 2011 (SI 2011/99).	Regulation 49 (Reporting requirements) of the Electronic Money Regulations 2011 (SI 2011/99).	None

SCHEDULE A

Part 8

Column 1	Column 2	Column 3
<b>Provisions of the 2000 Act under which the Authority made complaints schemes</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Paragraph 7 (Arrangements for the investigation of complaints) of Schedule 1 (The Financial Services Authority)	Part 6 of the Financial Services Act 2012	Part 6 of the Financial Services Act 2012

**SCHEDULE A**

**Part 9**

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of the 2000 Act under which the Authority gave guidance</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Section 157 (Guidance)	Section 139A	None
Section 157(1) (Guidance)	Section 139A(1)	None
Section 158A (Guidance on outsourcing by investment firms and credit institutions)	None	None



**SCHEDULE A**

**Part 10**

<b>Column 1</b>	<b>Column 2</b>	<b>Column 3</b>
<b>Provisions of other enactments under which the Authority gave guidance</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Article 11(1) (Guidance) of the Financial Services and Markets Act 2000 (Transitional Provisions and Savings) (Rules) Order 2001 (SI 2001/1534)	Section 139A(1)	None
Article 14 (Guidance on continued provisions) of the Financial Services and Markets Act 2000 (Consequential Amendments and Transitional Provisions) (Credit Unions) Order 2002 (SI 2002/1501)	Article 14 (Guidance on continued provisions) of the Financial Services and Markets Act 2000 (Consequential Amendments and Transitional Provisions) (Credit Unions) Order 2002 (SI 2002/1501)	None
Articles 9D (Applications for certificates) and 9F (Revocation of certificate on request) of the Regulated Activities Order	Articles 9D (Applications for certificates) and 9F (Revocation of certificate on request) of the Regulated Activities Order	None
Articles 9G (Obtaining information from certified persons etc) and 9H (Rules prohibiting the issue of electronic money at a discount) of the Regulated Activities Order	Articles 9G (Obtaining information from certified persons etc) and 9H (Rules prohibiting the issue of electronic money at a discount) of the Regulated Activities Order	None
Section 123 of the Banking Act 2009	Section 123 of the Banking Act 2009	Section 123 of the Banking Act 2009

Column 1	Column 2	Column 3
<b>Provisions of other enactments under which the Authority gave guidance</b>	<b>Corresponding provisions: Financial Conduct Authority</b>	<b>Corresponding provisions: Prudential Regulation Authority</b>
Regulation 14 (Guidance) of the Cross-Border Payments in Euro Regulations 2010 (SI 2010/89)	Regulation 15 of the Payments in Euro (Credit Transfers and Direct Debits) Regulations 2012 (SI 2012/3122)	None
Regulation 60 (Guidance) of the Electronic Money Regulations 2011 (SI 2011/99).	Regulation 60 (Guidance) of the Electronic Money Regulations 2011 (SI 2011/99).	None