

HANDBOOK ADMINISTRATION (NO 37) INSTRUMENT 2015**Powers exercised**

- A. The Financial Conduct Authority makes this instrument in the exercise of the powers and related provisions listed in Schedule 4 (Powers exercised) to the General Provisions of the Handbook.
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instruments) of the Financial Services and Markets Act 2000.

Commencement

- C. (1) Part 1 of Annex H (COBS) comes into force on 6 April 2015.
 (2) Part 2 of Annex H (COBS) comes into force on 6 April 2016.
 (3) The remainder of this instrument comes into force on 1 April 2015.

Amendments to the FCA Handbook

- D. The modules of the FCA's Handbook 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)
Glossary of definitions	Annex A
Senior Management Arrangements, Systems and Controls sourcebook (SYSC)	Annex B
General Provisions (GEN)	Annex C
Fees manual (FEES)	Annex D
Prudential sourcebook for Investment Firms (IFPRU)	Annex E
Prudential sourcebook for Mortgage and Home Finance Firms, and Insurance Intermediaries (MIPRU)	Annex F
Interim Prudential sourcebook for Investment Businesses (IPRU(INV))	Annex G
Conduct of Business sourcebook (COBS)	Annex H
Supervision manual (SUP)	Annex I
Compensation sourcebook (COMP)	Annex J
Listing Rules sourcebook (LR)	Annex K
Disclosure Rules and Transparency Rules sourcebook (DTR)	Annex L

Amendments to material outside the Handbook

- E. The Perimeter Guidance manual (PERG) is amended in accordance with Annex M to this instrument.

Notes

- F. In Annex D (FEES) to this instrument, the "note" (indicated by "**Note:**") is included for the convenience of readers but does not form part of the legislative text.

Citation

- G. This instrument may be cited as the Handbook Administration (No 37) Instrument 2015.

By order of the Board of the Financial Conduct Authority
24 March 2015

Annex A

Amendments to the Glossary of definitions

In this Annex, underlining indicates new text and striking through indicates deleted text.

- business premises* (in *CONC* App ~~2.1~~ 1.3) premises for occupation for the purposes of a business (including any activity carried on by a body of *persons*, whether corporate or unincorporate) or for those and other purposes.
- qualifying parent undertaking* has the meaning in section 192B (meaning of “qualifying parent undertaking”) of the *Act* which, in summary, is a *parent undertaking* of:
- (a) an *authorised person* that is a *body corporate* incorporated in the *UK* ~~where the parent undertaking that~~ is:
 - (i) a *PRA-authorised person*; or
 - (ii) an *investment firm*; or
 - (b) a *recognised investment exchange* that is not an *overseas investment exchange*;
- where the *parent undertaking* is:
- (c) a *body corporate* which:
 - (i) is incorporated in the *UK*; or
 - (ii) has a place of business in the *UK*;
 - (d) not an *authorised person*, a *recognised investment exchange* or a *recognised clearing house*; and
 - (e) any of the following:
 - (i) an *insurance holding company*;
 - (ii) a *financial holding company*;
 - (iii) a *mixed financial holding company*;
 - (iv) for certain purposes, a *mixed-activity holding company*.
- relevant information* (1) ~~(except in *REC*) (in relation to an *investment*) information which would be likely to be regarded by a *regular user* of the market or auction platform in question as relevant when deciding the terms on which transactions in that *investment* should be effected.~~
[deleted]

(2) ...

Annex B

Amendments to the Senior Management Arrangements, Systems and Controls sourcebook (SYSC)

In this Annex, underlining indicates new text and striking through indicates deleted text.

[*Editor's Note:* SYSC 20.1.1R (below) is being deleted from the FCA Handbook because it now only applies to PRA-authorised persons.]

20 Reverse stress testing

20.1 Application and purpose

Application

- 20.1.1 R ~~(1) SYSC 20 applies to:~~
- ~~(a) a *firm* which is:

 - ~~(i) a *bank*; or~~
 - ~~(ii) a *building society*; or~~
 - ~~(ii) a *designated investment firm* which meets any of the criteria set out in (2) on an individual basis, or in (3) on a consolidated basis; and~~~~
 - ~~(b) an *insurer* unless it is:

 - ~~(i) a *non-directive friendly society*; or~~
 - ~~(ii) a *Swiss general insurer*; or~~
 - ~~(iii) an *EEA deposit insurer*; or~~
 - ~~(iv) an *incoming EEA firm*; or~~
 - ~~(v) an *incoming Treaty firm*.~~~~
 - ~~(2) Subject to (4), SYSC 20 applies to a *designated investment firm* if:

 - ~~(a) it has assets under management or administration of at least £10 billion (or the equivalent amount in foreign currency); or~~
 - ~~(b) the total annual *fee and commission* income arising from its *regulated activities* is at least £250 million (or the equivalent amount in foreign currency); or~~
 - ~~(c) it has assets or liabilities of at least £2 billion (or the equivalent amount in foreign currency).~~~~

- (3) ~~Subject to (4), where all of the *designated investment firms* within the same *consolidation group* or *non-EEA sub group*, taken together as if they were one *firm*, meet any of the criteria in (2), SYSC 20 applies to each of those *designated investment firms* as if it individually met the inclusion criteria in (2).~~
- (4) ~~Any *designated investment firm* which is included within the scope of SYSC 20 in accordance with (2) or (3) in any given year will continue to be subject to SYSC 20 for the following two years irrespective of whether or not it continues to meet the inclusion criteria in any of those subsequent years. [deleted]~~

...

- 20.1.4A G The reverse stress testing requirements are an integral component of a ~~*firms*~~ *firm's* business planning and risk management under SYSC. For ~~*firms*~~ as referred to in SYSC 20.1.1R(1)(a) and *IFPRU investment firms* as referred to in SYSC ~~20.1.1R(1)(a)~~ 20.1.1AR(1)(a), this chapter amplifies SYSC 7.1.1G to SYSC 7.1.8G on risk control.

Annex C

Amendments to the General Provisions (GEN)

In this Annex, underlining indicates new text and striking through indicates deleted text.

1.3 Emergency

...

1.3.2 R ...

- (4) ... If the *person* is not a *firm*, the notification must be given to or addressed for the attention of: ~~Firm~~ Contact Centre, The Financial Conduct Authority, 25 The North Colonnade, Canary Wharf, London E14 5HS (tel: ~~0845 606 9966~~ 0300 500 0597).

Annex D

Amendments to the Fees manual (FEES)

In this Annex, underlining indicates new text and striking through indicates deleted text.

2.2 Late Payments and Recovery of Unpaid Fees

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- 2.2.3 G Paragraphs 23(8) ~~and 27~~ of Schedule 1ZA and paragraphs 31(7) ~~and 35~~ of Schedule 1ZB of the *Act* permit the *FCA* and *PRA* respectively to recover fees ...

[Note: For the PRA version of this guidance, see this provision as it was on 31 March 2015.]

Annex E

Amendments to the Prudential sourcebook for Investment Firms (IFPRU)

IFPRU TP 2 (Own funds requirements) is deleted in its entirety. The deleted text is not shown.

TP 2 [expired]

Annex F

Amendments to the Prudential sourcebook for Mortgage and Home Finance Firms, and Insurance Intermediaries (MIPRU)

In this Annex, underlining indicates new text and striking through indicates deleted text.

3 Professional indemnity insurance

3.1 Application and purpose

Application

3.1.1 R ...

(5) This chapter does not apply to:

...

- (c) a *firm* to which *IPRU(INV)* ~~13.1.4(1)~~ 13.1.5R(1) (Financial resource requirements for personal investment firms: requirement to hold professional indemnity insurance) applies; or

...

...

Annex G

**Amendments to the Interim Prudential sourcebook for Investment Businesses
(IPRU(INV))**

In this Annex, underlining indicates new text and striking through indicates deleted text.

Transitional provisions

1 Table Transitional provisions applying to IPRU(INV)

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
5	<i>IPRU(INV)</i> 11	R	A UCITS firm authorised on or before 21 July 2013 need not comply with <i>IPRU(INV)</i> 11 until 22 July 2014 or the date it becomes a UK AIFM (if earlier), provided it continues to comply instead with <i>UPRU</i>. [expired]	22 July 2013 to 21 July 2014	22 July 2013
6	The changes to <i>IPRU(INV)</i> in Annex J of the Alternative Investment Fund Managers Directive Instrument 2013 and Annex C of the Capital Requirements Directive IV (AIFMD and UCITS Consequential Amendments) Instrument 2013	R	(1) Where a firm meets the conditions in (2) the changes effected by the Annexes listed in column (2) do not apply and the provisions in <i>IPRU(INV)</i> amended by those Annexes will continue to apply as they were in force as at 21 July 2013. (2) The conditions are: (a) the firm falls within regulation 72(1) of the <i>AIFMD UK regulation</i>; and (b) the firm does not have a <i>Part 4A permission to manage an AIF</i>. [expired]	From 22 July 2013 until 21 July 2014	22 July 2013
...					

Annex H

Amendments to the Conduct of Business sourcebook (COBS)

In this Annex, underlining indicates new text and striking through indicates deleted text.

Part 1: Comes into force on 6 April 2015

19.6 Restriction on charges in qualifying schemes

...

19.6.4 R A *firm*, for a *default arrangement* within a *qualifying scheme*, may only make, impose or otherwise facilitate payment of an ~~administrative~~ administration charge by way of an *accrued rights charge* or a *combination charge structure* where:

...

(2) ... the following conditions are satisfied:

(a) the express agreement contains an acknowledgement by the member that the ~~administrative~~ administration charge for the service is likely to exceed the limits;

...

19.6.5 G ... Such core services include, for example, designing and implementing an investment strategy, investing contributions to the scheme (to the extent that this would incur ~~administrative~~ administration charges) ...

...

19.6.8 E (1) To ensure that ~~administrative~~ administration charges are within the limits set out in *COBS* 19.6.6R:

...

(e) for members who have been members of the *qualifying scheme* for a period of less than 12 months, a *firm* should calculate ~~administrative~~ administration charges on a pro rata basis;

...

...

Part 2: Comes into force on 6 April 2016**19.6 Restriction on charges in qualifying schemes**

...

- 19.6.9 R (1) A *firm* must not make any ~~administrative~~ administration charge, or otherwise make or facilitate any payment or provide any non-monetary benefit, in respect of any service provided by a third party in connection with a *qualifying scheme* which would have the effect of decreasing the value of the accrued rights of any member of that scheme.

...

...

- 19.6.11 R A *firm* must not impose greater ~~administrative~~ administration charges on a member of a *qualifying scheme* whose *workplace pension contributions* ceased on or after 6 April 2016 that those imposed on a member for whom such contributions are still being made.

Annex I

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text.

6.4 Applications for cancellation of permission

...

- 6.4.6 G (1) In addition to applying for cancellation of *Part 4A permission* in accordance with *SUP 6.4.5D*, a *firm* may discuss prospective cancellations with its supervisory contact as the *appropriate regulator*. Alternatively a *firm* can contact the ~~Firms~~ Contact Centre on ~~0845 606 9966~~ 0300 500 0597.

...

...

6 Annex 5D Variation of Permission (VOP) Application

[*Editor's Note:* Changes are made to the following Application Forms and Notes which form part of this Annex.]

Home Finance and General Insurance Mediation Activities

...

6 Approved Persons

...

... If you require help, please from the FCA, please call the FCA ~~Approved Persons Helpline~~ Contact Centre on +44 (0) ~~845 606 9966~~ 300 500 0597 ...

...

Home Finance and General Insurance Mediation Activities - notes

Purpose of these Notes

...

- call the ~~Firm~~ FCA Contact Centre on ~~0845 606 9966~~ 0300 500 0597 ...

...

Applications for Insurance Business, Banking, Electronic Money, Lloyd's Market and Funeral Plan Providers

...

...

6 Approved Persons

...

... If you require help, please call the FCA Approved Persons Helpline Contact Centre on ~~020 7066 0019~~ 0300 500 0597 ...

...

Applications for Insurance Business, Banking, Electronic Money, Lloyd's Market and Funeral Plan Providers - notes

Purpose of these Notes

...

- call the ~~Firm~~ FCA Contact Centre on ~~0845 606 9966~~ 0300 500 0597 ...

...

Investment Business

...

...

6 Approved Persons

...

... If you require help, please call the FCA Approved Persons Helpline Contact Centre on ~~020 7066 0019~~ 0300 500 0597 ...

...

Investment Business - notes

Purpose of these Notes

...

- call the ~~Firm~~ FCA Contact Centre on ~~0845 606 9966~~ 0300 500 0597 ...

...

Consumer Credit Activities

...

6 Approved Persons

...

... If you require help, please from the FCA, please call the FCA ~~Approved Persons Helpline~~ Contact Centre on +44 (0) 845 606 9966 300 500 0597 ...

...

...

10A.12 Procedures relating to FCA-approved persons

...

10A.12.6 G ... *Credit unions* can obtain copies from the FCA's ~~Firm~~ Contact Centre. To contact the FCA's ~~FCA's Customer~~ Contact Centre for *approved persons* enquiries:

(1) telephone ~~0845 606 9966~~ 0300 500 0597; or

...

...

10A Annex 4D

Long Form A – UK and Overseas Firms (not Incoming EEA)

...

Financial Conduct Authority

...

Telephone +44 (0) 845 606 9966 300 500 0597

...

Long Form A – Incoming EEA only

...

Financial Conduct Authority

...
Telephone +44 (0) ~~845 606 9966~~ 300 500 0597

...

Short Form A – UK and Overseas Firms (not Incoming EEA)

...

Financial Conduct Authority

...

Telephone +44 (0) ~~845 606 9966~~ 300 500 0597

...

Short Form A – Incoming EEA only

...

Financial Conduct Authority

...

Telephone +44 (0) ~~845 606 9966~~ 300 500 0597

...

Application for Authorisation

Notes to assist with the completion of the Long and/or Short Form A ...

...

- call the ~~Customer FCA~~ Contact Centre on ~~0845 606 9966~~ 0300 500 0597 ...
- ...
- email the FCA ~~Customer~~ Contact Centre: ...
- ...

...

10A Annex 5R

Form B Notice to withdraw an application to perform controlled functions under the approved persons regime

...

Financial Conduct Authority
...
Telephone +44 (0) ~~845 606 9966~~ 300 500 0597
...

Notes to assist in completing Form B ...

...

Completing this Form

...

... please contact the *FCA Customer* Contact Centre on ~~0845 606 9966~~
0300 500 0597 ...

...

10A Annex 6R

Form C Notice of ceasing to perform controlled functions

...

Financial Conduct Authority
...
Telephone +44 (0) ~~845 606 9966~~ 300 500 0597
...

Notes to assist in completing the Form C ...

...

... please contact the *FCA Customer* Contact Centre on ~~0845 606 9966~~
0300 500 0597 ...

...

10A Annex 7R

Form D Notification of changes in personal information of application details

...

Financial Conduct Authority
...

Telephone +44 (0) ~~845 606 9966~~ 300 500 0597

...

Notes to assist in completing the Form D ...

...

- call the FCA ~~Customer~~ Contact Centre on 0300 500 0597 ...
- ...
- email the FCA ~~Customer~~ Contact Centre: ...
- ...

...

10A Annex 8D

Form E Internal transfer of an approved person

...

Financial Conduct Authority

...

Telephone +44 (0) ~~845 606 9966~~ 300 500 0597

...

Notes for Form E

...

... please contact the FCA ~~Customer~~ Contact Centre on ~~0845 606 9966~~ 0300 500 0597 ...

...

10A Annex 9R

Form G: The Retail Investment Adviser Complaints Alerts Form

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please contact the FCA ~~Customer~~ Contact Centre on ~~0845 606 1234~~ 0300 500 0597 for assistance.

...

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12 Annex 3R Appointed representative appointment form

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Financial Conduct Authority

...

Telephone +44 (0) ~~845 606 9966~~ 300 500 0597

...

12 Annex 4R Appointed representative notification form

...

Financial Conduct Authority

...

Telephone +44 (0) ~~845 606 9966~~ 300 500 0597

...

12 Annex 5R Appointed representative termination form

...

Financial Conduct Authority

...

Telephone +44 (0) ~~845 606 9966~~ 300 500 0597

...

...

13 Annex 7R Passporting: Emissions Trading. Notice of intention from a UK firm to exercise the right of establishment in another EEA Member State

...

If you have any questions in connection with Auction regulation, please call the ~~Firm~~ Contact Centre on: ~~0845 606 9966~~ 0300 500 0597 ...

...

13A Annex 4R Passporting: Emissions Trading. Notice of intention from a UK firm to exercise the right of establishment in another EEA Member State

...

If you have any questions in connection with Auction regulation, please call the Firm Contact Centre on: ~~0845 606 9966~~ 0300 500 0597 ...

...

15 Annex 2R Form F – Changes in notified persons

...

Financial Conduct Authority

...

Telephone +44 (0) ~~845 606 9966~~ 300 500 0597

...

16.7A Annual report and accounts

...

Time period for firms submitting their annual report and accounts

16.7A.8 R *Firms* must submit their *annual report and accounts* in accordance with SUP 16.7A.3R within the following deadlines:

...

(3) for all other *firms*, within 80 ~~days~~ business days of the *accounting reference date*.

...

16.12 Integrated Regulatory Reporting

...

Regulated Activity Group 1

16.12.5 R The applicable *data items* and forms or reports referred to in SUP 16.12.4R are set out according to *firm* type in the table below:

Description of data item	Prudential category of firm, applicable data items and reporting format (Note 1)						
	UK bank	Building society	Non-EEA bank	EEA bank that has permission to accept deposits, other than one with permission for cross border services only	EEA bank that does not have permission to accept deposits, other than one with permission for cross border services only	Credit union	Dormant account fund operator (note 15)
<u>Annual report and accounts (PRA- authorised persons only)</u>	No standard format		No standard format but in English				No standard format
<u>Annual report and accounts of the mixed activity holding company (note 9) (PRA- authorised persons only)</u>	No standard format						
Solvency Statement (note 10)	...						
...							
...							
Note 9	Only applicable to a firm whose ultimate parent is a mixed-activity holding company.						
...							

16.12.6 R The applicable reporting frequencies for submission of data items and periods referred to in SUP 16.12.5R are set out in the table below according to firm type. Reporting frequencies are calculated from a firm's accounting reference date, unless indicated otherwise.

Data item	Unconsolidated UK banks and building societies	Solo consolidated UK banks and building societies	Report on a UK consolidation group or, as applicable, defined liquidity	Other members of RAG 1

			<i>group basis by UK banks and building societies</i>	
<u>Annual report and accounts (PRA- authorised persons only)</u>	<u>Annual</u>			<u>Annual</u>
<u>Annual report and accounts of the mixed- activity holding company (PRA- authorised persons only)</u>	<u>Annual</u>			
Solvency statement	...			
...				
...				

16.12.7 R The applicable due dates for submission referred to in *SUP* 16.12.4R are set out in the table below. The due dates are the last day of the periods given in the table below following the relevant reporting frequency period set out in *SUP* 16.12.6R, unless indicated otherwise.

<i>Data item</i>	Daily	Weekly	Monthly	Quarterly	Half yearly	Annual
<u>Annual report and accounts (PRA- authorise d persons only)</u>						<u>80 business days (note 1) 7 months (note 2)</u>
<u>Annual report and accounts of the mixed-</u>						<u>7 months</u>

<i>activity holding company (PRA-authorised persons only)</i>						
Solvency statement	...					
...						
...						

...

16.12.18B R The applicable *data items*, reporting frequencies and submission deadlines referred to in SUP 16.12.4R are set out in the table below. Reporting frequencies are calculated from a *firm's accounting reference date*, unless indicated otherwise. The due dates are the last day of the periods given in the table below following the relevant reporting frequency period.

Description of <i>data item</i>	<i>Data item</i> (note 1)	Frequency	Submission deadline
<i>Annual report and accounts</i>	No standard format	Annually	80 business days
...			
...			

...

16 Annex 1AR FIN-A Annual Report and Accounts

...		
Immigration Act 2014		
2	Has the firm complied with the prohibition in section 40 of the Immigration Act 2014 and any requirements imposed by or under the Immigration Act 2014 (Financial Services Bank Accounts) Regulations 2014?	Yes / No / N/A

Annex J

Amendments to the Compensation sourcebook (COMP)

In this Annex, underlining indicates new text and striking through indicates deleted text.

1.3 Claimants

- 1.3.1 G ... The *FSCS* can be contacted at ~~7th Floor, Lloyds Chambers, 1 Portsoken Street, London E1 8BN~~ 10th Floor, Beaufort House, 15 St Botolph Street, London, EC3A 7QU, or by telephone or fax (Tel: ~~020 7892 7300~~ 0800 678 1100 (Freephone) or 020 7741 4100 or Fax: ~~020 7892 7304~~ 020 7741 4101), or by e-mail (enquiries@fscs.org.uk).

Annex K

Amendments to the Listing Rules sourcebook (LR)

In this Annex, underlining indicates new text and striking through indicates deleted text.

TR 1 Transitional Provisions: General and Venture Capital Trusts

General Transitional Provisions

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: date in force	(6) Handbook provision: coming into force
1	Amendments to <i>LR</i> set out in Annex B of the Transparency Obligations Directive (Disclosure and Transparency Rules) Instrument 2006, relating to: (i) <i>DTR</i> 4 and periodic financial reporting; and (ii) <i>DTR</i> 6 in so far as they may relate to, or are required to give effect to, amendments in (i).	R	The amendments described in column 2 shall have effect as follows: (a) an issuer whose financial year starts on or after 20 January 2007 must comply with these amendments as of 20 January 2007; and (b) an issuer whose financial year starts before 20 January 2007 must comply with these amendments as of the start of its next financial year. <u>deleted</u>	From 20 January 2007	
1A	<i>LR</i> provisions referring to Companies Acts 1985, 2006 or related provisions	R	(1) To the extent that the whole or part of a provision of the Companies Act 2006 is yet to come into force, any reference to that provision or part of it should be read as a reference to the corresponding provision of the Companies Act 1985 currently in force (subject to the application of any relevant transitional provision in the Companies Act 2006 or the rules). (2) To the extent that the whole or part of a provision of the Companies Act 1985 is no longer in force it shall be read as a reference to the corresponding provision of the Companies Act 2006 or relevant <i>DTR rule</i> that has superseded it (subject to the application of any relevant transitional provisions).	6 October 2007	20 January 2007

			<u>deleted</u>		
1B	...				

Transitional Provisions for venture capital trusts

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: date in force	(6) Handbook provision: coming into force
2	<i>LR 15.2.11R – LR 15.2.13AR and LR 15.4.7R</i>	R	Do not apply in respect of a <i>venture capital trust</i> listed before the date this instrument comes into force. <u>expired</u>	From 28 September 2007 to 28 September 2010	28 September 2007
3	<i>LR 15.6.8R</i>	R	Does not apply in respect of a <i>venture capital trust</i> listed before the date this instrument comes into force. <u>expired</u>	From 28 September 2007 to 28 September 2010	28 September 2007

TR 2 Transitional Provision for closed-ended investment funds listed before 28 September 2007

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision coming into force
1	<i>LR 15.4.1AR and LR 15.4.1BG</i>	R	<i>LR 15.4.1AR and LR 15.4.1BG do not apply to a closed-ended investment fund listed before 28 September 2007 until the date of the publication of its first annual report after 28 September 2007.</i> <u>deleted</u>	6 March 2008	6 March 2008

...

TR 4 Transitional Provision for Issuers with a Premium Listing that are Overseas Companies

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into

					force
1.	LR 9.8.7R	R	An overseas company with securities that have a premium listing on 5 April 2010 is only required to comply with LR 9.8.7R in financial years beginning after 31 December 2009. <u>deleted</u>	From 6 April 2010	6 April 2010

TR 5 Transitional Provisions for companies incorporated in the United Kingdom

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 9.3.12R(1), (2) and (3)	R	Where a listed company has an authority to disapply statutory pre-emption rights under section 95 of the Companies Act 1985 and that authority remains in force on or after 6 April 2010, the company can continue to rely on it until it expires and will not need to seek a new authority under section 571 of the Companies Act 2006. <u>deleted</u>	From 6 April 2010	6 April 2010

TR 6 Transitional Provision for overseas companies

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 9.3.11R	R	An overseas company with securities that have a premium listing on 6 April 2010 is only required to comply with LR 9.3.11R after 5 April 2011. <u>deleted</u>	From 6 April 2010	6 April 2010

TR 7 Transitional Provision for issuers with shares that do not confer full voting rights

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1	LR 10, LR 11, LR 12	R	<p>(1) <i>This rule applies to an issuer with a premium listing of equity shares that do not confer full voting rights on 6 April 2010.</i></p> <p>(2) <i>An issuer to which this rule applies may retain a premium listing of equity shares that do not confer full voting rights until 31 May 2012. expired</i></p>	From 6 April 2010 to 31 May 2012	6 April 2010

TR 8 Transitional Provisions for the Combined Code

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 9.8.6R(5) and (6), LR 15.6.6R(2)	R	<p>References to provisions in the <i>UK Corporate Governance Code</i> are to be read as references to the equivalent provisions in the <i>Combined Code</i> for accounting periods beginning before 29 June 2010. For the avoidance of doubt, LR 15.6.6R(2) <i>Combined Code</i> Principles B.1 and B.2 became <i>UK Corporate Governance Code</i> Principles D.1 and D.2 respectively; and <i>Combined Code</i> provisions B.1.1 to B.1.6 and B.2.1 to B.2.4 became <i>UK Corporate Governance Code</i> provisions D.1.1 to D.1.5 and D.2.1 to D.2.4 respectively. expired</p>	From 29 June 2010 to 28 December 2011	6 August 2010

TR 9 Transitional Provision for a company that has a premium listing of equity shares but does not comply with LR 9.2.20R

(1)	(2) Material to which the	(3)	(4) Transitional provision	(5) Transitional	(6) Handbook
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	transitional provisions applies			provision: dates in force	provision: coming into force
1.	LR 9.2.20R	R	<p>(1) <i>This rule applies to a company that has a premium listing of equity shares but does not comply with LR 9.2.20R on 1 October 2012.</i></p> <p>(2) <i>LR 9.2.20R is not applicable to a company to which this rule applies.</i> <u>expired</u></p>	From 1 October 2012 up to and including 31 December 2013	1 October 2012

TR 10 Transitional Provision in relation to new sponsor services

(1)	(2) Material to which the transitional provisions applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
1.	LR 5.6.6R	R	<p>(1) <i>LR 5.6.6R does not apply to an issuer with a premium listing.</i></p> <p>(2) <i>An issuer with a premium listing must contact the FCA as early as possible:</i></p> <p>(a) <i>before announcing a reverse takeover which has been agreed or is in contemplation, to discuss whether a suspension of listing is appropriate; or</i></p> <p>(b) <i>where details of a reverse takeover have leaked, to request a suspension.</i> <u>expired</u></p>	From 1 October 2012 up to and including 30 December 2012	1 October 2012
2.	LR 5.6.13R, LR 5.6.17R, LR 5.6.26R	R	<i>An issuer with a premium listing is not required to comply with LR 5.6.13R, LR 5.6.17R or LR 5.6.26R from 1 October 2012 to 30 December 2012.</i> <u>expired</u>	From 1 October 2012 up to and including 30 December 2012	1 October 2012
3.	LR 13.5.27BR	R	<p>(1) <i>LR 13.5.27BR does not apply.</i></p> <p>(2) <i>Where a listed company proposes to rely on LR 13.5.27BR(1)(b), it must submit to the FCA an assessment of the appropriateness of the standards applicable to an</i></p>	From 1 October 2012 up to and including 30 December 2012	1 October 2012

		<p>investment exchange or <i>multilateral trading facility</i> against the factors set out in <i>LR 15.3.27AG(1) to LR 13.5.27AG(7)</i> and any other factors that it considers should be noted. The assessment must be submitted before or at that time the <i>listed company</i> submits the draft <i>class 1 circular</i>. <u>expired</u></p>		
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Annex L

Amendments to the Disclosure Rules and Transparency Rules sourcebook (DTR)

In this Annex, underlining indicates new text and striking through indicates deleted text.

8 Annex 1 R List of regulatory bodies

	...	
	(3)	the Competition Commission <u>the Competition and Markets Authority</u>
	...	
	(14)	the Office of Fair Trading <u>[deleted]</u>
	...	

Annex M

Amendments to the Perimeter Guidance manual (PERG)

In this Annex, underlining indicates new text and striking through indicates deleted text.

1.5 What other guidance about the perimeter is available from the FCA?

...

1.5.3 G ...

- (1) by authorised firms, to either the ~~Firm~~ Contact Centre (... ~~0845 606 9966~~ 0300 500 0597) ...