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

    (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).

<table>
<thead>
<tr>
<th>(1)</th>
<th>(2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Glossary of definitions</td>
<td>Annex A</td>
</tr>
<tr>
<td>Senior Management Arrangements, Systems and Controls sourcebook (SYSC)</td>
<td>Annex B</td>
</tr>
<tr>
<td>General Provisions (GEN)</td>
<td>Annex C</td>
</tr>
<tr>
<td>Fees manual (FEES)</td>
<td>Annex D</td>
</tr>
<tr>
<td>Prudential sourcebook for Investment Firms (IFPRU)</td>
<td>Annex E</td>
</tr>
<tr>
<td>Prudential sourcebook for Mortgage and Home Finance Firms, and Insurance Intermediaries (MIPRU)</td>
<td>Annex F</td>
</tr>
<tr>
<td>Interim Prudential sourcebook for Investment Businesses (IPRU(INV))</td>
<td>Annex G</td>
</tr>
<tr>
<td>Conduct of Business sourcebook (COBS)</td>
<td>Annex H</td>
</tr>
<tr>
<td>Supervision manual (SUP)</td>
<td>Annex I</td>
</tr>
<tr>
<td>Compensation sourcebook (COMP)</td>
<td>Annex J</td>
</tr>
<tr>
<td>Listing Rules sourcebook (LR)</td>
<td>Annex K</td>
</tr>
<tr>
<td>Disclosure Rules and Transparency Rules sourcebook (DTR)</td>
<td>Annex L</td>
</tr>
</tbody>
</table>

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 2.1.3) 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 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

... 

2.2.3 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(4) 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)

<table>
<thead>
<tr>
<th>(1)</th>
<th>(2)</th>
<th>(3)</th>
<th>(4)</th>
<th>(5)</th>
<th>(6)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Material to which the transitional provision applies</td>
<td>Transitional provision</td>
<td>Transitional provision: dates in force</td>
<td>Handbook provision coming into force</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>IPRU(INV) 11</td>
<td>R</td>
<td>A UCITS firm authorised on or before 21 July 2013 need not comply with IPRU(INV) 11 until 22 July 2014 or the date it becomes a UK AIFM (if earlier), provided it continues to comply instead with UPRU. [expired]</td>
<td>22 July 2013 to 21 July 2014</td>
<td>22 July 2013</td>
</tr>
<tr>
<td>6</td>
<td>The changes to IPRU(INV) 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</td>
<td>R</td>
<td>(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 IPRU(INV) 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 AIFMD UK regulation; and (b) the firm does not have a Part 4A permission to manage an AIF. [expired]</td>
<td>From 22 July 2013 until 21 July 2014</td>
<td>22 July 2013</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

...
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 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 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 charges) ...

... 

19.6.8 E (1) To ensure that administrative 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 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.

...
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 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 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 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 Credit unions can obtain copies from the FCA’s Firm Contact Centre. To contact the FCA’s Contact Centre for approved persons enquiries:

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

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
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

…
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 1234 0300 500 0597 …

…

10A Annex 9R

Form G: The Retail Investment Adviser Complaints Alerts Form

…

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

…
12 Annex 3R  Appointed representative appointment form

... 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  Passorting: 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:
<table>
<thead>
<tr>
<th>Description of data item</th>
<th>Prudential category of firm, applicable data items and reporting format (Note 1)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>UK bank</td>
</tr>
<tr>
<td><strong>Annual report and accounts (PRA-authorised persons only)</strong></td>
<td>No standard format</td>
</tr>
<tr>
<td><strong>Annual report and accounts of the mixed activity holding company (note 9) (PRA-authorised persons only)</strong></td>
<td>No standard format</td>
</tr>
<tr>
<td><strong>Solvency Statement (note 10)</strong></td>
<td>...</td>
</tr>
<tr>
<td>...</td>
<td></td>
</tr>
<tr>
<td>...</td>
<td></td>
</tr>
<tr>
<td><strong>Note 9</strong></td>
<td>Only applicable to a firm whose ultimate parent is a mixed-activity holding company.</td>
</tr>
<tr>
<td>...</td>
<td></td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Data item</th>
<th>Unconsolidated UK banks and building societies</th>
<th>Solo consolidated UK banks and building societies</th>
<th>Report on a UK consolidation group or, as applicable, defined liquidity</th>
<th>Other members of RAG 1</th>
</tr>
</thead>
</table>

Page 22 of 33
<table>
<thead>
<tr>
<th>Data item</th>
<th>Daily</th>
<th>Weekly</th>
<th>Monthly</th>
<th>Quarterly</th>
<th>Half yearly</th>
<th>Annual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual report and accounts (PRA-authorised persons only)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Annual report and accounts of the mixed-activity holding company</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(PRA-authorised persons only)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Solvency statement</td>
<td>...</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>...</td>
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<td>...</td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

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.
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.

<table>
<thead>
<tr>
<th>Description of data item</th>
<th>Data item (note 1)</th>
<th>Frequency</th>
<th>Submission deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual report and accounts</td>
<td>No standard format</td>
<td>Annually</td>
<td>80 business days</td>
</tr>
</tbody>
</table>

16 Annex 1AR FIN-A Annual Report and Accounts

<table>
<thead>
<tr>
<th>Immigration Act 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td>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?</td>
</tr>
</tbody>
</table>
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 7301 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

<table>
<thead>
<tr>
<th></th>
<th>Material to which the transitional provision applies</th>
<th>Transitional provision</th>
<th>Transitional provision: date in force</th>
<th>Handbook provision: coming into force</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Amendments to LR set out in Annex B of the Transparency Obligations Directive (Disclosure and Transparency Rules) Instrument 2006, relating to: (i) DTR 4 and periodic financial reporting; and (ii) DTR 6 in so far as they may relate to, or are required to give effect to, amendments in (i).</td>
<td>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. deleted</td>
<td>From 20 January 2007</td>
<td></td>
</tr>
<tr>
<td>1A</td>
<td>LR provisions referring to Companies Acts 1985, 2006 or related provisions</td>
<td>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 DTR rule that has superseded it (subject to the application of any relevant transitional provisions).</td>
<td>6 October 2007</td>
<td>20 January 2007</td>
</tr>
</tbody>
</table>
### Transitional Provisions for venture capital trusts

<table>
<thead>
<tr>
<th></th>
<th>(2) Material to which the transitional provision applies</th>
<th>(3) Transitional provision</th>
<th>(5) Transitional provision: date in force</th>
<th>(6) Handbook provision: coming into force</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>LR 15.2.11R – LR 15.2.13AR and LR 15.4.7R</td>
<td>R</td>
<td>From 28 September 2007 to 28 September 2010</td>
<td>28 September 2007</td>
</tr>
<tr>
<td>3</td>
<td>LR 15.6.8R</td>
<td>R</td>
<td>From 28 September 2007 to 28 September 2010</td>
<td>28 September 2007</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>LR 15.4.1AR and LR 15.4.1BG</td>
<td>R</td>
<td>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</td>
<td>6-March 2008</td>
<td>6-March 2008</td>
</tr>
</tbody>
</table>

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

|---|----------------------------------------------------------|-----|----------------------------|------------------------------------------|------------------------------------------|
### TR 5  Transitional Provisions for companies incorporated in the United Kingdom

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>LR 9.3.12R(1), (2) and (3) R</td>
<td></td>
<td>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. deleted</td>
<td>From 6 April 2010</td>
<td>6 April 2010</td>
</tr>
</tbody>
</table>

### TR 6  Transitional Provision for overseas companies

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>LR 9.3.11R</td>
<td>R</td>
<td>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. deleted</td>
<td>From 6 April 2010</td>
<td>6 April 2010</td>
</tr>
</tbody>
</table>

### TR 7  Transitional Provision for issuers with shares that do not confer full voting rights
### TR 8  Transitional Provisions for the Combined Code

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>LR 10, LR 11, LR 12</td>
<td>R</td>
<td>(1) This rule applies to an issuer with a premium listing of equity shares that do not confer full voting rights on 6 April 2010. (2) 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</td>
<td>From 6 April 2010 to 31 May 2012</td>
<td>6 April 2010</td>
</tr>
</tbody>
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### TR 9  Transitional Provision for a company that has a premium listing of equity shares but does not comply with LR 9.2.20R

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<tbody>
<tr>
<td>1</td>
<td>LR 9.8.6R(5) and (6), LR 15.6.6R(2)</td>
<td>R</td>
<td>References to provisions in the UK Corporate Governance Code are to be read as references to the equivalent provisions in the Combined Code for accounting periods beginning before 29 June 2010. For the avoidance of doubt, LR 15.6.6R(2) Combined Code Principles B.1 and B.2 became UK Corporate Governance Code Principles D.1 and D.2 respectively, and Combined Code provisions B.1.1 to B.1.6 and B.2.1 to B.2.4 became UK Corporate Governance Code provisions D.1.1 to D.1.5 and D.2.1 to D.2.4 respectively. expired</td>
<td>From 29 June 2010 to 28 December 2011</td>
<td>6 August 2010</td>
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<tr>
<td></td>
<td>transitional provisions applies</td>
<td></td>
<td>provision: dates in force</td>
<td>provision: coming into force</td>
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<tr>
<td>1.</td>
<td>LR 9.2.20R</td>
<td>R</td>
<td>(1) 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. (2) LR 9.2.20R is not applicable to a company to which this rule applies.</td>
<td>From 1 October 2012 up to and including 31 December 2013</td>
<td>1 October 2012</td>
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TR 10 Transitional Provision in relation to new sponsor services

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<tr>
<td>1.</td>
<td>LR 5.6.6R</td>
<td>R</td>
<td>(1) LR 5.6.6R does not apply to an issuer with a premium listing. (2) An issuer with a premium listing must contact the FCA as early as possible: (a) before announcing a reverse takeover which has been agreed or is in contemplation, to discuss whether a suspension of listing is appropriate; or (b) where details of a reverse takeover have leaked, to request a suspension.</td>
<td>From 1 October 2012 up to and including 30 December 2012</td>
<td>1 October 2012</td>
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<td>2.</td>
<td>LR 5.6.13R, LR 5.6.17R, LR 5.6.26R</td>
<td>R</td>
<td>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.</td>
<td>From 1 October 2012 up to and including 30 December 2012</td>
<td>1 October 2012</td>
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<td>3.</td>
<td>LR 13.5.27BR</td>
<td>R</td>
<td>(1) LR 13.5.27BR does not apply. (2) 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</td>
<td>From 1 October 2012 up to and including 30 December 2012</td>
<td>1 October 2012</td>
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investment exchange or multilateral trading facility against the factors set out in LR 15.3.27AG(1) to LR 13.5.27AG(7) and any other factors that it considers should be noted. The assessment must be submitted before or at that time the listed company submits the draft class 1 circular.

expired
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

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