

HANDBOOK ADMINISTRATION (NO 17) INSTRUMENT 2010**Powers exercised**

- A. The Financial Services 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 153(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force as follows:
- (1) Part 2 of Annex C (FEES) and Part 2 of Annex H (COMP) come into force on 31 December 2010;
 - (2) the remainder of this instrument comes into force on 6 April 2010.

Amendments to the Handbook

- D. The modules of the FSA'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
Threshold Conditions (COND)	Annex B
Fees manual (FEES)	Annex C
General Prudential sourcebook (GENPRU)	Annex D
Client Assets sourcebook (CASS)	Annex E
Supervision manual (SUP)	Annex F
Disputes Resolution: Complaints sourcebook (DISP)	Annex G
Compensation sourcebook (COMP)	Annex H
Collective Investment Schemes sourcebook (COLL)	Annex I
Listing Rules sourcebook (LR)	Annex J

Citation

- E. This instrument may be cited as the Handbook Administration (No 17) Instrument 2010.

By order of the Board
25 March 2010

Annex A

Amendments to the Glossary of definitions

In this Annex, striking through indicates deleted text.

clearing house a clearing house through which transactions ~~on an exchange~~ may be cleared.

Annex B**Amendments to the Threshold Conditions (COND)**

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

1.2.3 G ...

- (2) If, when exercising its *own-initiative power* under section 45(1) of the *Act*, the *FSA* varies a *firm's permission*, or imposes or varies a *requirement*, then, under section ~~41(1)~~ 41(2) of the *Act*, the *FSA* must ensure that the *firm* concerned will satisfy, and continue to satisfy, the *threshold conditions* in relation to all of the *regulated activities* for which it has or will have *permission*. However, section ~~41(2)~~ 41(3) of the *Act* states that the duty imposed by section ~~41(1)~~ 41(2) of the *Act* does not prevent the *FSA* taking such steps as it considers necessary in relation to a particular *firm* in order to secure its *regulatory objective of consumer protection*.

...

Annex C

Amendments to the Fees manual (FEES)

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

Part 1: Comes into force on 6 April 2010

Schedule 4 Powers exercised

...

Sch 4.2	G	The following additional powers have been exercised by the <i>FSA</i> to make the <i>rules</i> in <i>FEES</i> :
		...
		Regulation 92 (Costs of compliance supervision) of the <i>Payment Services Regulations</i>
		...

Part 2: Comes into force on 31 December 2010

- 6.5.15 R ~~[deleted]~~ Where a *participant firm* can identify that a *protected deposit* or a *protected dormant account* was made by or belonged to a *person* who is not an *eligible claimant*, it may exclude the amount of that deposit or that account from the tariff base, provided that it notifies the *FSCS* of the amount of the deposit or the account so excluded and provides the *FSCS* with such information about the deposit or account as the *FSCS* may reasonably require.

Annex D**Amendments to the General Prudential sourcebook (GENPRU)**

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

Group risk

- 1.2.87 G *GENPRU* 1.2.88G to *GENPRU* 1.2.91G contain additional *guidance* on the assessment required by *GENPRU* ~~1.2.30R(2)(i)~~ 1.2.30R(2)(l) (Group risk).

Annex E

Amendments to the Client Assets sourcebook (CASS)

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

3.2.4 G When appropriate, *firms* that enter into the arrangements with *retail clients* covered in this chapter ~~with *retail clients*~~ will be expected to identify in the statement of *custody assets* sent to the *client* in accordance with ~~CASS 2.3.12R (Production and despatch of client statements)~~ COBS 16.4 (Statements of client designated investments or client money) details of the assets which form the basis of the arrangements. Where the *firm* utilises global netting arrangements, a statement of the assets held on this basis will suffice.

...

5.1.1 R ...

(2) CASS 5.1 to CASS 5.6 do not, subject to (3), apply:

(a) to a *firm* to the extent that it acts in accordance with the ~~*non-directive client money chapter*~~ or the *MIFID client money chapter*; or

...

...

5.2.3 R (1) A *firm* must not agree to:

...

unless:

...

(f) (i) ...

(ii) (in the case of (b)) the agreement required by (d) expressly provides for the *firm* to act as agent of the *insurance undertaking* for the purpose of receiving and holding claims *money* (or, as the case may be, *premium refunds*) prior to transmission to the ~~client~~ *client* making the *claim* (or, as the case may be, entitled to the *premium refund*) in question.

...

...

- 5.4.1 G (1) ... The *client money* trust required by CASS 5.4 extends to such debt obligations which will arise if the *firm*, as trustee, makes credit advances, to enable a ~~client's~~ *client's premium* obligations to be met before the *premium* is remitted to the *firm* and similarly if it allows claims and *premium* refunds to be paid to the *client* before receiving remittance of those *monies* from the *insurance undertaking*.
- ...
- ...
- 5.5.18 R ...
- (4) Paragraphs (1) to (3) do not apply in relation to an *appointed representative, field representative* or other agent to which (if it were a *firm*) CASS 5.1.4AR(1) or CASS 5.1.4AR(2) would apply, but subject to the *representative* or agent maintaining an account which satisfies the requirements of CASS 5.5.49R to the extent that the *representative* or agent will hold *client money* on trust or otherwise on behalf of its ~~clients~~ *clients*.
- ...
- 5.8.1 R ...
- (2) CASS 5.8 does not apply to a *firm* when:
- ...
- (b) acting in accordance with CASS ~~2~~ 6 (Custody rules).
- ...
- 6.1.1A G The *regulated activity* of *safeguarding and administering investments* covers both the *safeguarding and administration of assets (without arranging)* and ~~arranging the~~ *arranging safeguarding and administration of assets*, when those assets are either *safe custody investments* or *custody assets*. A *safe custody investment* is, in summary, a *designated investment* which a *firm* receives or holds on behalf of a *client*. *Custody assets* include *designated investments*, and any other assets that the *firm* holds or may hold in the same portfolio as a *designated investment* held for or on behalf of ~~the~~ a *client*.
- ...
- 6.2.3 R ...
- (2) ...
- (d) a third party with whom *financial instruments* are deposited under CASS 6.3 (Depositing assets and arranging for assets to be deposited with third parties);

- ...
- ...
- 6.4.1 R ...
- (4) ~~A firm which does not undertake MiFID business does not need to comply with (1), (2) and (3) until 1 May 2009. [deleted]~~
- ...
- 6.5.4 G (1) Carrying out internal reconciliations of the *safe custody assets* held for each *client* with the *safe custody assets* held by the *firm* and third parties is an important step in the discharge of the *firm's* obligations under CASS 6.5.2R (Records and accounts), and, where relevant, SYSC 4.1.1R (General requirements) and SYSC 6.1.1R (Compliance).
- ...
- ...
- 6.5.14 G *Firms* are reminded that the auditor of the *firm* has to confirm in the report submitted to the *FSA* under SUP 3.10 (Duties of auditors: notification and report on client assets) that the *firm* has maintained systems adequate to enable it to comply with the *custody rules* ~~in this chapter~~.
- ...
- ~~Professional client opt-out~~ Money that is not client money: 'opt outs' for any business other than insurance mediation activity
- 7.1.7B R ...
- ~~Money that is not client money: 'opt outs' for any business other than insurance mediation activity~~ Professional client opt-out
- 7.1.7C G ...
- ...
- 7.1.9 G If a *credit institution* that holds *money* as a deposit with itself is subject to the ~~requirement to disclose information before providing services~~ requirement to disclose information before providing services, it should, in compliance with that obligation, notify the *client* that:
- ...
- 7.1.16 G ...
- (2) The *client money rules* also, where relevant, implement the provisions of *MiFID* which regulate the obligations of a *firm* when it holds *client money* in the course of its *MiFID business*.

...

- 7.4.6 G If a *firm* that intends to place *client money* in a *qualifying money market fund* is subject to the ~~*requirement to disclose information before providing services*~~ *requirement to disclose information before providing services*, it should, in compliance with that obligation, notify the *client* that:

...

...

- 7.4.12 G A *firm* may open one or more *client bank accounts* in the form of a *general client bank account*, a *designated client bank account* or a *designated client fund account* (see CASS 7.9.3G 7A.2.1G (Failure of the authorised firm: primary pooling event)).

...

- 7.4.18 G Under the alternative approach, a *firm* that receives *client money* should:

- (1) (a) ...
- (b) perform a reconciliation of records and accounts required under CASS 7.6.2R (Records and accounts), and where relevant SYSC 4.1.1R (General requirements) and SYSC 6.1.1R (Compliance), adjust the balance held in its *client bank accounts* and then segregate the *money* in the *client bank account* until the calculation is re-performed on the next *business day*; or

...

...

- 7.4.32 G United States (US) legislation restricts the ability of non-US firms to trade on behalf of US customers on non-US futures and options exchanges. The relevant US regulator (the *CFTC*) operates an exemption system for *firms* authorised by the *FSA*. The *FSA* sponsors the application from a *firm* for exemption from Part 30 of the General Regulations under the US Commodity Exchange Act in line with this system. ~~The application forms and associated information can be found on the *FSA* website in the “Forms” section.~~

...

- 7.6.3 G Pursuant to CASS 7.6.2R (Records and accounts), and where relevant SYSC 4.1.1R (General requirements) and SYSC 6.1.1R (Compliance), a *firm* should take reasonable steps to ensure that it is notified promptly of any receipt of *client money* in the form of a *client* entitlement.

...

- 7.6.7 R (1) ...
- (2) A *firm* must make these records on the date it starts using a method of internal reconciliation of *client money* balances and must keep it ~~made~~ for a period of five years after ceasing to use it.
- ...
- 7A.3.9 G The term “which should have been held” is a reference to the *failed bank’s failure* ~~failure~~ to hold the *client money* at the time of the pooling event.
- ...
- 8.1.3 G *Firms* are reminded that the *mandate rules* do not apply to an *incoming EEA firm*, other than an *insurer*, with respect to its *passported activities*. The application of the *mandate rules* is also dependent on the location from which the activity is undertaken (see ~~CASS 4.4.3~~ 1.3).
- ...
- 8.1.5 R A *firm* that holds authorities of the sort referred to in this chapter, must establish and maintain adequate records and *internal controls* in respect of its use of the mandates, which must include:
- ...
- (4) where the *firm* holds a passbook or similar documents belonging to the ~~client~~ client, *internal controls*; for the safeguarding (including against loss, unauthorised destruction, theft, fraud or misuse) of any passbook or similar document belonging to the *client* held by the *firm*.

Annex F

Amendments to the Supervision manual (SUP)

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

3.1.2 R Applicable sections (see SUP 3.1.1R)

	(1) Category of firm	(2) Sections applicable to the firm	(3) Sections applicable to its auditor
...			
(2)	<p><i>Authorised professional firm not within (1) to which the non-directive custody chapter, non-directive client money chapter, MiFID custody chapter or MiFID client money chapter <u>custody chapter or client money chapter</u> apply applies, unless the firm is regulated by The Law Society (England and Wales), The Law Society of Scotland or The Law Society of Northern Ireland (Note 2)</i></p>
...			
(7A)	<p><i>Investment management firm (other than an exempt CAD firm), personal investment firm (other than a small personal investment firm or exempt CAD firm), or securities and futures firm (other than an exempt CAD firm or an exempt BIPRU commodities firm) not within (7) to which the non-directive custody chapter, non-directive client money chapter, MiFID custody chapter or MiFID client money chapter <u>custody chapter or client money chapter</u> apply applies</i></p>
...			
...			

Note 3C = A sole trader or a partnership that is a UK MiFID investment firm to which the MiFID custody chapter or MiFID client money chapter apply applies must have its annual accounts audited.
...

...

...

...

- 3.10.2 R An auditor of an authorised professional firm need not report under this section in relation to that firm’s compliance with the client money rules in the ~~non-directive~~ client money chapter, if that firm is regulated by:

...

- 3.10.5 R Client assets report

Whether in the auditor’s opinion:	
...	
(4)	if there has been a secondary pooling event during the period, the firm has complied with the rules in CASS 4.4 , CASS 5.6 and CASS 7.9 7A (Client money distribution) in relation to that pooling event.

...

- 16.12.13 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 16.12.12R, unless indicated otherwise.

Data item	Daily	Weekly	Monthly submission	Quarterly submission	Half yearly submission	Annual submission
...						

...

- 16.12.17 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 16.12.16R, unless indicated otherwise.

Data item	Daily	Weekly	Monthly submission	Quarterly submission	Half yearly submission	Annual submission
<u>Data item</u>						

...						
-----	--	--	--	--	--	--

...

- 16.12.21 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 16.12.20R*.

<i>Data item</i>	Quarterly submission	Half yearly submission	Annual submission
...			

...

- 16.12.24 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 16.12.23R*, unless indicated otherwise.

<i>Data item</i>	Daily	Weekly	Monthly submission	Quarterly submission	Half yearly submission	Annual submission
...						

...

- 16.12.27 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 16.12.26R*, unless indicated otherwise.

Data item <i>Data item</i>	Daily	Weekly	Monthly submission	Quarterly submission	Half yearly submission	Annual submission
...						

...

16 Annex 18AR Retail Mediation Activities Return ('RMAR')

...

SECTION J: data required for calculation of fees

	FSA	FOS	FEES FSCS
Mortgage Home Finance Mediation	{see <i>FEES 4 Annex 1R Part 2 fee block A18</i> }	{ <i>FEES 5 Annex 1R industry block 16</i> }	<i>FEES 6.5.10R</i> <i>FEES 6 Annex 3R sub-class E2</i>

Non-investment insurance mediation	{see FEES 4 Annex 1R Part 2 fee block A19}	{FEES 5 Annex 1R industry block 17}	FEES 6.5.11R <u>FEES 6 Annex 3R sub-class B2</u>
<u>Life and pension intermediation</u>	n/a	n/a	<u>FEES 6 Annex 3R sub-class C2</u>
Investment mediation intermediation	{see FEES 4 Annex 1R Part 2 fee blocks A12/13} n/a	{ FEES 5 Annex 1R industry block 8/9 } n/a	FEES 6.5.9R contribution groups A12/13 <u>FEES 6 Annex 3R sub-class D2</u>
<u>Number of relevant CF30s</u>	n/a	<u>FEES 5 Annex 1R industry block 8/9</u>	n/a

...

16 Annex 18BG Notes for Completion of the Retail Mediation Activities Return ('RMAR')

...

Section E: guide for completion of individual fields

...

Part 2

...

Section J: data required for calculation of fees

Note: *Home purchase* and *reversion activity* should be included under the ~~existing mortgage~~ home finance headings in this section of the RMAR.

This information is required so that we can calculate the fees payable by *firms* in respect of the *FSA*, *FOS* and the *FSCS*

...

Data for fees calculations	<i>Firms</i> will need to report data for the purpose of calculating <i>FSA</i> , <i>FOS</i> <u>and</u> <i>FSCS</i> levies.
FSA	The relevant information required is the tariff data set out in <i>FEES</i> 4 Annex 1R Part 2 under fee blocks A 12/13 , 18 and 19. Note that <i>firms</i> are required to report tariff data information relating to all business falling within fee blocks A18/19 and not simply that relating to retail investments.
FOS	The relevant information required is the tariff data set out in <i>FEES</i> 4 <u><i>FEES</i> 5 Annex 1R</u> industry blocks 8/9, 16 and 17. Note that <i>firms</i> are required to report tariff data information relating to all business falling within investments.

FSCS	The relevant information required is the tariff data set out in COMP 13.6.9R contribution groups A12/13 sub-classes B2, C2, D2, and E2, FEES 6 Annex 3R FEES 6.5.10R and FEES 6.5.11R . Note that firms are required to report tariff data information relating to all business falling within FEES 6.5.11R <u>6 Annex 3R</u> and not simply that relating to retail investments.
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...

...

16 Annex 25G Guidance notes for data items in SUP 16 Annex 24R

...

FSA041 – Asset Managers that use Hedge Fund Techniques Report

Description	Data element	Guidance
...		
For the auditor(s) you use to audit your funds please provide the following: Name(s) of auditing firm(s) that signed the most recent audit opinion.	5A	<p>A list of the most frequently occurring auditor firms will be provided in drop-down list format. There will also be the option to add, in free text, other auditor firms not included in the list provided.</p> <p><u>Please provide the name(s) of the auditing firm(s) in the blank box provided.</u></p>
Name(s) of prime broker(s)	7A	<p>A list of the most frequently occurring prime broker firms will be provided in drop-down list format. There is also the option to add, in free text, other prime brokers not included in the list provided.</p> <p><u>Please provide the name(s) of the auditing firm(s) in the blank box provided.</u></p>
Name(s) of the third party administrator(s)	11A	<p>A list of the most frequently occurring third party administrator firms will be provided in drop-down list format. There is also the option to add, in free text, other third party administrators not included in the list provided.</p> <p><u>Please provide the name(s) of the auditing firm(s) in the blank text box provided.</u></p>

...

FSA044 – Maturity analysis of assets and deposits

...

Maturity (columns B - D)

Firms should include in column B any commitments, contingent liabilities or undrawn credit lines inward that are ~~either~~ unconditionally cancellable.

...

16 Annex 26G Guidance on designated liquidity groups in SUP 16.12

...		
2	G	<i>Defined liquidity groups</i> are relevant to liquidity reporting by <i>ILAS BIPRU firms</i> . Liquidity reporting under <i>SUP 16.12</i> relates to a <i>firm</i> on a solo or <i>branch</i> basis and in addition by reference to a <i>firm's designated defined liquidity group</i> .
...		

Annex G

Amendments to the Dispute Resolution: Complaints sourcebook (DISP)

In this Annex, underlining indicates new text.

1 Annex 1R Illustration of the reporting requirements, referred to in *DISP* 1.10.1R

Complaints Return (DISP 1 Ann 1R)

...

3 ...

Complaints closed and total redress paid during the reporting period

	A	B	C	D	E
...

Annex H

Amendments to the Compensation sourcebook (COMP)

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

Part 1: Comes into force on 6 April 2010

Incoming EEA firms that accept deposits through UK branches and have not obtained top-up cover

- 16.3.3 R An *incoming EEA firm* that accepts *deposits* through a *UK branch* and has not obtained *top-up cover* must disclose the following information to any ~~*protected deposit*~~ holder with that *branch* who is or is likely to be eligible to claim for compensation from the *firm's Home State* compensation scheme.

“Important information about compensation arrangements

We are part of [insert name of *firm*] which is based in [insert name of *Home State*]. Most depositors are covered by [insert name of *Home State* compensation scheme] which is also based in [insert name of *Home State*].

This means that if our bank is unable to meet its financial obligations, our eligible UK depositors would be entitled to claim up to £ [insert *Home State* compensation scheme maximum payment for ~~*protected deposits*~~] from the [insert name of *Home State* compensation scheme]. [State any significant conditions that compensation is subject to e.g. if paid on a per account or per depositor basis, and if set-off applies].

For further information about the [insert name of *Home State* compensation scheme] (including the amounts covered and eligibility to claim) please contact your branch or refer to [insert contact details of the *Home State* compensation scheme].”

Incoming EEA firms that accept deposits through UK branches and have obtained top-up cover

- 16.3.4 R An *incoming EEA firm* that *accepts deposits* through a *UK branch* and has obtained *top-up cover* must disclose the following information to any *protected deposit* holder with that *firm* who is or is likely to be an *eligible claimant*.

“Important information about compensation arrangements

We are part of [insert name of *firm*] which is based in [insert name of *Home State*]. Most depositors are covered by [insert name of *Home State* compensation scheme] compensation scheme which is also based in [insert name of *Home State*]. In addition, for depositors with our UK branch we have joined the UK compensation scheme, the Financial Services Compensation Scheme (FSCS).

This means that if our bank is unable to meet its financial obligations, eligible depositors with our UK branch could claim up to £ [insert *Home State* compensation scheme maximum payment for *protected deposits*] from the [insert name of *Home State* compensation scheme] and if they have more saved with us, they could also claim for the remainder up to [insert *FSCS* maximum payment for *protected deposits*] from the *FSCS*.

This is because the [insert name of *Home State* compensation scheme] is only responsible for paying the first part of the compensation up to £ [insert *Home State* compensation scheme maximum payment for *protected deposits*] and the *FSCS* is only responsible for paying the second part of compensation - being above £ [insert *Home State* compensation scheme maximum payment for *protected deposits*] and up to [insert *FSCS* maximum payment for *protected deposits*].

The *FSCS* will also try to help depositors with our UK branch, for example, to get in touch with the [insert name of *Home State* compensation scheme] compensation scheme and to understand the process involved.

For further information on how compensation would apply to you please contact:

- [insert name of *firm*] by dropping into one of our branches, at [insert website link] or by calling [insert phone number].
- General information is also available from:
- the *FSCS* by calling [insert *FSCS* phone number] or at www.fscs.org.uk/.
 - [insert name of *Home State* compensation scheme] compensation scheme by contacting [insert relevant phone number and website link].

Incoming EEA firms: conversion of home state compensation scheme limit to sterling

- 16.3.5 G When an ~~incoming~~ *incoming EEA firm* inserts the *Home State* compensation scheme maximum payment for *protected deposits* in the disclosure required by this section, that amount should be converted into pounds sterling and the exchange rate noted in a footnote. The exchange rate used should be updated regularly.

Frequency of communication

- 16.3.6 R (1) ...
- (2) If a *firm* normally communicates with a *protected deposit holder* or a *deposit holder protected by the incoming EEA firm's Home State compensation scheme* less frequently than every 6 months (1) does not apply and the *firm* must provide the information required to be disclosed by this section on at least an annual basis.

... Trading name disclosure

- 16.3.10 R Where a *firm* operates under more than one trading name, the *firm* must, in any communication required by this section to a *protected deposit* holder who is or is likely to be eligible to claim for compensation from the *compensation scheme* or other *Home State* compensation scheme and generally in its *UK branches* and on its website, prominently disclose the trading names under which it operates and explain the impact this has on any *protected deposit* holder's entitlement to compensation from the *compensation scheme* and any relevant *Home State* or *Host State* compensation scheme.

Further disclosure

- 16.3.11 G A *firm* should ensure that all communications to consumers about compensation for *protected deposits* and *deposits protected by an incoming EEA firm's Home State compensation scheme* are clear, fair and not misleading.

Part 2: Comes into force on 31 December 2010

Table – Minimum information firms must include in each single customer view

- 17.2.8 R This table belongs to *COMP 17.2.4R*

Field identifier	Field descriptor
Customer details	
Single customer view record number	Unique customer identifier
Title	Title <u>[if applicable and where held by the firm]</u>
Customer 1st Forename	1st Forename <u>[if applicable]</u>
Customer 2nd Forename	2nd Forename <u>[if applicable and where held by the firm]</u>
Customer 3rd Forename	3rd Forename <u>[if applicable and where held by the firm]</u>
Customer Surname <u>[or company name or name of account holder]</u>	Surname <u>[or company name or name of account holder]</u>
Previous Name	Any former name of account holder <u>[where held by the firm]</u>
National Insurance number	National Insurance number, where held by the <i>firm</i>
Contact details	

<u>EITHER Format A</u>	
Single customer view record number	Unique customer identifier
House number	House number/Premise name
Street	Street
Locality	Locality [<u>where held by the firm</u>]
County	County [<u>where held by the firm</u>]
Postcode	Postcode [<u>where used by a country</u>]
Country	Country [<u>for countries outside the UK</u>]
<u>OR Format B</u>	
<u>Single customer view record number</u>	<u>Unique customer identifier</u>
<u>ADDRESS LINE 1</u>	<u>As required</u>
<u>ADDRESS LINE 2</u>	<u>As required</u>
<u>ADDRESS LINE 3</u>	<u>As required</u>
<u>ADDRESS LINE 4</u>	<u>As required</u>
<u>ADDRESS LINE 5</u>	<u>As required</u>
<u>ADDRESS LINE 6</u>	<u>As required</u>
<u>Postcode</u>	<u>Postcode [where used by a country]</u>
<u>Country</u>	<u>Country [for countries outside the UK]</u>
Details of account(s)	
Single customer view record number	Unique customer identifier
Account title	Surname or company name , first name, any other account initials or middle name identifier <u>or company name or name of account holder</u>
Account number	Unique number for this account
...	

Annex I**Amendments to the Collective Investment Schemes sourcebook (COLL)**

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

Spread: general

5.6.7 R ...

(10) In applying this rule, all *derivatives* transactions are deemed to be free of counterparty risk if they are performed on an exchange where the ~~clearing house~~ clearing house meets each of the following conditions:

- (a) it is backed by an appropriate performance guarantee; and
- (b) it is characterised by a daily mark-to-market valuation of the *derivative* positions and an at least daily margining.

...

Annex J

Amendments to the Listing Rules sourcebook (LR)

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

Approval procedures

13.2.4 R The following documents (to the extent applicable) must be lodged with the FSA in final form before it will approve a *circular*:

...

(3) the *sponsor's* ~~Confirmation of Independence~~ Conflicts Declaration; and

...

...

13.2.6 R The *sponsor's* ~~Confirmation of Independence~~ Conflicts Declaration in final form must be submitted at least 10 clear *business days* before the date on which it is intended to publish the *circular*.

...

Authority to allot shares

13.8.1 R A *circular* relating to a resolution proposing to grant the *directors'* authority to allot ~~relevant securities~~ shares or other securities pursuant to section 551 (Power of directors to allot shares etc: authorisation by company) of the Companies Act 2006 must include:

(1) a statement of the maximum amount of ~~relevant securities~~ shares or other securities which the *directors* will have authority to allot and the percentage which that amount represents of the total ordinary share capital in issue (excluding *treasury shares*) as at the latest practicable date before publication of the *circular*;

...

...

Appendix 3 List of Regulatory Information Services

3.1.1 R The following are approved *Regulatory Information Services*:

Business Wire Regulatory Disclosure provided by Business Wire

FirstSight provided by ~~Romeike~~ Cision

Announce provided by Hugin ASA

News Release Express provided by ~~CCNMatthews UK Limited~~ Marketwire

PR Newswire Disclose provided by PRNewswire

RNS provided by the London Stock Exchange

marCo - Market Communication Office provided by Tensid Ltd of Switzerland

DGAP IR.COCKPIT provided by EquityStory AG