

## List of non-legal corrections and clarifications in the FCA Handbook

This document lists the minor corrections and clarifications that we have made to the Handbook, other than those made by [Handbook Administration instrument](#). These changes are regarded as having no legal effect. None of these changes represents a change in policy.

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

Handbook reference	Text of change made	Reason for change	Published date of change												
FCG 4.4.2	Action Fraud, which is the UK’s national fraud reporting centre: <del>www.actionfraud.org.uk</del> <u>www.actionfraud.police.uk</u>	Replacing incorrect link	07/02/2024												
DISP 3.7.4R	<table border="1"> <thead> <tr> <th data-bbox="432 842 831 898">Date complaint referred</th> <th colspan="2" data-bbox="831 842 1400 898">Date of act or omission</th> </tr> </thead> <tbody> <tr> <td data-bbox="432 898 831 994"></td> <td data-bbox="831 898 1113 994">Before 1 April 2019</td> <td data-bbox="1113 898 1400 994">On or after 1 April 2019</td> </tr> <tr> <td data-bbox="432 994 831 1058">on or after 1 April 2023</td> <td data-bbox="831 994 1113 1058">£190,000</td> <td data-bbox="1113 994 1400 1058">£415,000</td> </tr> <tr> <td data-bbox="432 1058 831 1121"><u>on or after 1 April 2024</u></td> <td data-bbox="831 1058 1113 1121"><u>£195,000</u></td> <td data-bbox="1113 1058 1400 1121"><u>£430,000</u></td> </tr> </tbody> </table>	Date complaint referred	Date of act or omission			Before 1 April 2019	On or after 1 April 2019	on or after 1 April 2023	£190,000	£415,000	<u>on or after 1 April 2024</u>	<u>£195,000</u>	<u>£430,000</u>	Administrative change	11/03/2024
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SUP 15 Annex 4	<p>This annex consists only of one or more forms. Forms are to be found through the following address:</p> <p><del>Notifications Form</del></p> <p><del>SUP 15 Annex 4</del></p> <p><a href="https://www.fca.org.uk/firm-notification-form-sup-15">https://www.fca.org.uk/firm-notification-form-sup-15</a></p> <p>[Editor's note: the text 'SUP 15 Annex 4' was previously hyperlinked to <a href="https://www.handbook.fca.org.uk/form/sup/SUP_15_ann_04.pdf">https://www.handbook.fca.org.uk/form/sup/SUP_15_ann_04.pdf</a>]</p>	To change the link through which firms can access the notification form at SUP 15 Annex 4. There are no changes to the form.	03/04/2024
MAR 9 Annex 3	<p><del><a href="https://www.fca.org.uk/publication/forms/drsp-variation-authorisation-form.docx">https://www.fca.org.uk/publication/forms/drsp-variation-authorisation-form.docx</a></del> <a href="https://www.fca.org.uk/publication/forms/drsp-variation-authorisation-form.docx">https://www.fca.org.uk/publication/forms/drsp-variation-authorisation-form.docx</a></p>	Administrative amendment	05/04/2024
MAR 9 Annex 4	<p><del><a href="https://www.fca.org.uk/publication/forms/drsp-cancellation-form.docx">https://www.fca.org.uk/publication/forms/drsp-cancellation-form.docx</a></del> <a href="https://www.fca.org.uk/publication/forms/drsp-cancellation-form.docx">https://www.fca.org.uk/publication/forms/drsp-cancellation-form.docx</a></p>	Administrative amendment	05/04/2024
MAR 9 Annex 5	<p><del><a href="https://www.fca.org.uk/publication/forms/drsp-material-change-notification.docx">https://www.fca.org.uk/publication/forms/drsp-material-change-notification.docx</a></del> <a href="https://www.fca.org.uk/publication/forms/drsp-material-change-notification.docx">https://www.fca.org.uk/publication/forms/drsp-material-change-notification.docx</a></p>	Administrative amendment	05/04/2024
MAR 9 Annex 6	<p><del><a href="https://www.fca.org.uk/publication/forms/drsp-changes-to-management-body-members.docx">https://www.fca.org.uk/publication/forms/drsp-changes-to-management-body-members.docx</a></del> <a href="https://www.fca.org.uk/publication/forms/drsp-changes-to-management-body-members.docx">https://www.fca.org.uk/publication/forms/drsp-changes-to-management-body-members.docx</a></p>	Administrative amendment	05/04/2024
MAR 9 Annex 8	<p><del><a href="https://www.fca.org.uk/publication/forms/drsp-yearly-notification-form.docx">https://www.fca.org.uk/publication/forms/drsp-yearly-notification-form.docx</a></del> <a href="https://www.fca.org.uk/publication/forms/drsp-yearly-notification-form.docx">https://www.fca.org.uk/publication/forms/drsp-yearly-notification-form.docx</a></p>	Administrative amendment	05/04/2024

MAR 9 Annex 9	<del>https://www.fca.org.uk/publication/forms/drsp-ad-hoc-change-notification.doc</del> <a href="https://www.fca.org.uk/publication/forms/drsp-ad-hoc-change-notification.docx">https://www.fca.org.uk/publication/forms/drsp-ad-hoc-change-notification.docx</a>	Administrative amendment	05/04/2024
SUP 16 Annex 38B	<del>This annex consists only of one or more forms. Forms are to be found through the following address: SUP 16 Annex 38B</del>	Correction of an administrative error – this text was mistakenly reinserted on 13 April 2018 after having been deleted by <a href="#">FCA 2017/35</a>	13/05/2024
UKLR 4.2.1R	<i>An issuer with a listing of equity shares in, or applying for admission of its equity shares to, the equity shares (commercial companies) category, the closed-ended investment funds category <del>for</del> or the equity shares (shell companies) category must appoint a sponsor on each occasion that the issuer:</i>  ...	Correction of typo	11/07/2024
UKLR 21.5.18G	<i>An issuer may take steps, in connection with a transfer, which require it to consider whether a prospectus is necessary – for example, if the company or its capital is reconstituted in a way that could amount to an offer of transferable securities to the public. The issuer and its advisers should consider whether obligations under the Act and the <del>prospectus</del> <u>Prospectus Rules</u> may be triggered.</i>	Correction of typo	11/07/2024
CASS 5.6.7AG	The purpose of CASS 5.6.7R(4)(b) is to ensure that where a particular <i>client's client money</i> is transferred under <del>CASS 5.5.7R(4)(a)</del> <u>CASS 5.6.7R(4)(a)</u> to a <i>dormant asset fund operator</i> , such a transfer does not prejudice any other <i>client</i> . This means, for example, that the amount that may be transferred to a <i>dormant asset fund operator</i> under that	Cross-reference correction	02/08/2024

	provision should take account of any <i>shortfall</i> that affects the relevant <i>clients</i> .		
CASS 13.9.4R	A <i>firm</i> may transfer a <i>client money</i> balance to a <i>dormant asset fund operator</i> under the applicable provisions of Part 1 of the Dormant Assets Act 2022. If it does so the transferred balance will cease to be <i>client money</i> under <del>CASS 13.9.42R(6)</del> <u>CASS 13.9.2R(6)</u> , provided that the <i>firm</i> can demonstrate it took reasonable steps to trace the <i>client</i> concerned and to return the balance prior to making such a transfer.	Cross-reference correction	02/08/2024
CASS 13.11.5BG	The purpose of CASS 13.11.5AR(2) is to ensure that where a particular <i>client's client money</i> is transferred under <del>CASS 13.11.5R(1)</del> <u>CASS 13.11.5AR(1)</u> to a <i>dormant asset fund operator</i> , such a transfer does not prejudice any other <i>client</i> . This means, for example, that the amount that may be transferred to a <i>dormant asset fund operator</i> under that provision should take account of any <i>shortfall</i> that affects the relevant <i>clients</i> .	Cross-reference correction	02/08/2024

This document was last updated in August 2024.

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