

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: www.actionfraud.org.uk <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 1050">on or after 1 April 2023</td> <td data-bbox="831 994 1113 1050">£190,000</td> <td data-bbox="1113 994 1400 1050">£415,000</td> </tr> <tr> <td data-bbox="432 1050 831 1106"><u>on or after 1 April 2024</u></td> <td data-bbox="831 1050 1113 1106"><u>£195,000</u></td> <td data-bbox="1113 1050 1400 1106"><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 |
| 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> | | | | | | | | | | | | | |

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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>Notifications Form</p> <p>SUP 15 Annex 4</p> <p>https://www.fca.org.uk/firm-notification-form-sup-15</p> <p>[Editor's note: the text 'SUP 15 Annex 4' was previously hyperlinked to https://www.handbook.fca.org.uk/form/sup/SUP_15_ann_04.pdf]</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>https://www.fca.org.uk/publication/forms/drsp-variation-authorisation-form.docx https://www.fca.org.uk/publication/forms/drsp-variation-authorisation-form.docx</p> | Administrative amendment | 05/04/2024 |
| MAR 9 Annex 4 | <p>https://www.fca.org.uk/publication/forms/drsp-cancellation-form.docx https://www.fca.org.uk/publication/forms/drsp-cancellation-form.docx</p> | Administrative amendment | 05/04/2024 |
| MAR 9 Annex 5 | <p>https://www.fca.org.uk/publication/forms/drsp-material-change-notification.docx https://www.fca.org.uk/publication/forms/drsp-material-change-notification.docx</p> | Administrative amendment | 05/04/2024 |
| MAR 9 Annex 6 | <p>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</p> | Administrative amendment | 05/04/2024 |
| MAR 9 Annex 8 | <p>https://www.fca.org.uk/publication/forms/drsp-yearly-notification-form.docx https://www.fca.org.uk/publication/forms/drsp-yearly-notification-form.docx</p> | Administrative amendment | 05/04/2024 |

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| MAR 9 Annex 9 | https://www.fca.org.uk/publication/forms/drsp-ad-hoc-change-notification.doc https://www.fca.org.uk/publication/forms/drsp-ad-hoc-change-notification.docx | Administrative amendment | 05/04/2024 |
| SUP 16 Annex 38B | This annex consists only of one or more forms. Forms are to be found through the following address: SUP 16 Annex 38B | Correction of an administrative error – this text was mistakenly reinserted on 13 April 2018 after having been deleted by FCA 2017/35 | 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 for 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 prospectus <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 CASS 5.5.7R(4)(a) <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 |

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| | provision should take account of any <i>shortfall</i> that affects the relevant <i>clients</i> . | | |
| CASS 13.9.4R | A firm 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 CASS 13.9.42R(6) <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 CASS 13.11.5R(1) <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 |
| SUP 15 Annex 6A | <p>2.1 Please complete the 'Schedule of AIFs' with details of all new AIFs to be managed by your firm.</p> <p>Links to schedule of AIFs:</p> <p>Full-scope UK AIFM: http://fca.org.uk/static/documents/forms/aif-schedule-full-scope-aifm.xlsx https://www.fca.org.uk/publication/forms/aif-schedule-full-scope-aifm.xlsx</p> <p>Small registered AIFM: http://fca.org.uk/static/documents/forms/aif-schedule-small-registered-aifm.xlsx https://www.fca.org.uk/publication/forms/aif-schedule-small-registered-aifm.xlsx</p> | To correct the broken links. There are no changes to the content of those links. | 25/09/2024 |

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|--|---|--|------------|--|---|------------|--|--|------------|--|--|------------|--|------------------|---------------|--|------------------|--------------------|--|----------------------------------|---------------|--|----------------------------------|--------------------|--|--|------------------------|
| | <p>Small authorised AIFM: http://fca.org.uk/static/documents/forms/aif-schedule-small-authorized-aifm.xlsx https://www.fca.org.uk/publication/forms/aif-schedule-small-authorized-aifm.xlsx</p> | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>SUP 16 Annex 48AR</p> | <p>Add the following rows in the appropriate alphabetical position:</p> <table border="1" data-bbox="432 459 1400 1252"> <tr> <td><u>After the event legal expenses</u></td> <td><u>All</u></td> <td><u>Names of five largest distribution arrangements</u></td> </tr> <tr> <td><u>Before the event legal expenses – home</u></td> <td><u>All</u></td> <td><u>Names of five largest distribution arrangements</u></td> </tr> <tr> <td><u>Before the event legal expenses – motor</u></td> <td><u>All</u></td> <td><u>Names of five largest distribution arrangements</u></td> </tr> <tr> <td><u>Before the event legal expenses – other</u></td> <td><u>All</u></td> <td><u>Names of five largest distribution arrangements</u></td> </tr> <tr> <td><u>Key cover</u></td> <td><u>Add-on</u></td> <td><u>Names of five largest distribution arrangements</u></td> </tr> <tr> <td><u>Key cover</u></td> <td><u>Stand-alone</u></td> <td><u>Names of five largest distribution arrangements</u></td> </tr> <tr> <td><u>Vehicle pothole insurance</u></td> <td><u>Add-on</u></td> <td><u>Names of five largest distribution arrangements</u></td> </tr> <tr> <td><u>Vehicle pothole insurance</u></td> <td><u>Stand-alone</u></td> <td><u>Names of five largest distribution arrangements</u></td> </tr> </table> <p>Delete the following rows:</p> | <u>After the event legal expenses</u> | <u>All</u> | <u>Names of five largest distribution arrangements</u> | <u>Before the event legal expenses – home</u> | <u>All</u> | <u>Names of five largest distribution arrangements</u> | <u>Before the event legal expenses – motor</u> | <u>All</u> | <u>Names of five largest distribution arrangements</u> | <u>Before the event legal expenses – other</u> | <u>All</u> | <u>Names of five largest distribution arrangements</u> | <u>Key cover</u> | <u>Add-on</u> | <u>Names of five largest distribution arrangements</u> | <u>Key cover</u> | <u>Stand-alone</u> | <u>Names of five largest distribution arrangements</u> | <u>Vehicle pothole insurance</u> | <u>Add-on</u> | <u>Names of five largest distribution arrangements</u> | <u>Vehicle pothole insurance</u> | <u>Stand-alone</u> | <u>Names of five largest distribution arrangements</u> | <p>These changes were made by FCA 2021/65.</p> | <p>1 November 2024</p> |
| <u>After the event legal expenses</u> | <u>All</u> | <u>Names of five largest distribution arrangements</u> | | | | | | | | | | | | | | | | | | | | | | | | | |
| <u>Before the event legal expenses – home</u> | <u>All</u> | <u>Names of five largest distribution arrangements</u> | | | | | | | | | | | | | | | | | | | | | | | | | |
| <u>Before the event legal expenses – motor</u> | <u>All</u> | <u>Names of five largest distribution arrangements</u> | | | | | | | | | | | | | | | | | | | | | | | | | |
| <u>Before the event legal expenses – other</u> | <u>All</u> | <u>Names of five largest distribution arrangements</u> | | | | | | | | | | | | | | | | | | | | | | | | | |
| <u>Key cover</u> | <u>Add-on</u> | <u>Names of five largest distribution arrangements</u> | | | | | | | | | | | | | | | | | | | | | | | | | |
| <u>Key cover</u> | <u>Stand-alone</u> | <u>Names of five largest distribution arrangements</u> | | | | | | | | | | | | | | | | | | | | | | | | | |
| <u>Vehicle pothole insurance</u> | <u>Add-on</u> | <u>Names of five largest distribution arrangements</u> | | | | | | | | | | | | | | | | | | | | | | | | | |
| <u>Vehicle pothole insurance</u> | <u>Stand-alone</u> | <u>Names of five largest distribution arrangements</u> | | | | | | | | | | | | | | | | | | | | | | | | | |

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| | <table border="1"> <tr> <td>Legal expenses— home</td> <td>All</td> <td>Names of five largest distribution arrangements</td> </tr> <tr> <td>Legal expenses— motor</td> <td>All</td> <td>Names of five largest distribution arrangements</td> </tr> <tr> <td>Legal expenses— other</td> <td>All</td> <td>Names of five largest distribution arrangements</td> </tr> </table> | Legal expenses— home | All | Names of five largest distribution arrangements | Legal expenses— motor | All | Names of five largest distribution arrangements | Legal expenses— other | All | Names of five largest distribution arrangements | | |
| Legal expenses— home | All | Names of five largest distribution arrangements | | | | | | | | | | |
| Legal expenses— motor | All | Names of five largest distribution arrangements | | | | | | | | | | |
| Legal expenses— other | All | Names of five largest distribution arrangements | | | | | | | | | | |
| FCTR 2.2.1G | <p>You can read the findings of the <i>FSA's</i> thematic review here: http://www.fsa.gov.uk/pubs/other/fraud_risk.pdf https://webarchive.nationalarchives.gov.uk/ukgwa/20130411040819mp/http://www.fsa.gov.uk/pubs/other/fraud_risk.pdf</p> | To correct the broken link. There is no change to the content of the link. | 1 November 2024 | | | | | | | | | |
| FCTR 4.2.1G | <p>You can read the findings of the <i>FSA's</i> thematic review here: http://www.fsa.gov.uk/pubs/other/money_laundering/aml_system.pdf https://webarchive.nationalarchives.gov.uk/ukgwa/20130202083124mp/http://www.fsa.gov.uk/pubs/other/money_laundering/aml_system.pdf</p> | To correct the broken link. There is no change to the content of the link. | 1 November 2024 | | | | | | | | | |
| FCTR 5.2.1G | <p>You can read the findings of the <i>FSA's</i> thematic review here: http://www.fsa.gov.uk/pubs/other/jmlsg_guidance.pdf https://webarchive.nationalarchives.gov.uk/ukgwa/20130202083131mp/http://www.fsa.gov.uk/pubs/other/jmlsg_guidance.pdf</p> | To correct the broken link. There is no change to the content of the link. | 1 November 2024 | | | | | | | | | |
| FCTR 7.1.2G | <p>In the second half of 2008 the <i>FSA</i> reviewed how financial services firms in the UK were addressing financial crime risks in functions they had moved to offshore centres. The review followed on from the <i>FSA's</i> report into data security in financial services (April 2008 – http://www.fsa.gov.uk/pubs/other/data_security.pdf</p> | To correct the broken link. There is no change to the content of the link. | 1 November 2024 | | | | | | | | | |

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| | https://webarchive.nationalarchives.gov.uk/ukgwa/20130410174411mp/http://www.fsa.gov.uk/pubs/other/data_security.pdf | | |
| FCTR 7.2.1G | You can read the findings of the <i>FSA's</i> thematic review here: http://www.fsa.gov.uk/pages/About/What/financial_crime/library/reports/review_offshore.shtml https://webarchive.nationalarchives.gov.uk/ukgwa/20130202083122/http://www.fsa.gov.uk/pages/About/What/financial_crime/library/reports/review_offshore.shtml | To correct the broken link. There is no change to the content of the link. | 1 November 2024 |
| FCTR 9.2.1G | You can read the findings of the <i>FSA's</i> thematic review here: http://www.fsa.gov.uk/pubs/anti_bribery.pdf https://webarchive.nationalarchives.gov.uk/ukgwa/20130412020151mp/http://www.fsa.gov.uk/pubs/anti_bribery.pdf | To correct the broken link. There is no change to the content of the link. | 1 November 2024 |
| FCTR 12.2.1G | You can read the findings of the <i>FSA's</i> thematic review here: http://www.fsa.gov.uk/pubs/other/aml_final_report.pdf https://www.fca.org.uk/publication/corporate/fsa-aml-final-report.pdf | To correct the broken link. There is no change to the content of the link. | 1 November 2024 |
| FCG 3.2.4 | Firms are required to keep written records in circumstances where all possible means of identifying the beneficial owner of a <i>body corporate</i> have been taken and the beneficial <u>owner</u> cannot be identified satisfactorily or at all. | Administrative amendment | 1 November 2024 |
| SUP 11.3.1BG | The <i>FCA</i> has issued non-Handbook guidance on the notification requirements for, and assessment of, controllers or proposed controllers under the <i>Act</i> . See {Editor's note: link to non-Handbook guidance to be inserted} www.fca.org.uk/publication/finalised-guidance/fg24-5.pdf . This includes guidance in relation to when one <i>person's</i> holding of <i>shares</i> or <i>voting power</i> must be aggregated with that of | Administrative amendment | 1 November 2024 |

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| | another <i>person</i> for the purposes of determining whether an acquisition or increase of control will take place. | | |
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This document was last updated in November 2024.

If you have any comments on this list please email, please email handbook.feedback@fca.org.uk.