Annex D

Amendments to other time-related provisions: Handbook, Handbook Guides and Regulatory Guides

This Annex replaces the text in column 3 with the text in column 4 in the amendments to the provisions in column 2 to be made by the instruments in column 1.

Column 1		Column 2		Column 3	Column 4
Instrument (a)	Annex (b)	(a) Sourcebook or Manual	(b) Provision	Original text	Amended text
Exiting the European Union: High Level Standards (Amendments) Instrument 2019 (FCA 2019/20)	G	FEES	6.1.2G(1)	Firms which are not participant firms (such as certain types of incoming EEA firms, service companies, and ICVCs and, for the purposes of FEES 6, pre-exit incoming EEA firms) are not required to contribute towards the funding of the compensation scheme.	Firms which are not participant firms (such as certain types of incoming EEA firms, service companies, and ICVCs and, for the purposes of FEES 6, pre-IP completion day incoming EEA firms) are not required to contribute towards the funding of the compensation scheme.
			Heading to TP 21	Transitional provisions relating to FSCS levy arrangements from 1 April 2019 or, if later, from exit day as defined in the European Union (Withdrawal) Act 2018	Transitional provisions relating to FSCS levy arrangements from IP completion day
			TP 21.1 column (4)	The changes in column (2) apply to any levy made after 1 April 2019. This is even if: (1) the claim against the relevant person or successor in default arose or relates to circumstances	The changes in column (2) apply to any levy made after IP completion day. This is even if: (1) the claim against the relevant person or successor in default arose or relates to circumstances

				origing hafare that	origing hafare that
				arising before that	arising before that
				date; or	date; or
				(2) the <i>relevant</i>	(2) the <i>relevant</i>
				person or successor	person or successor
				was in default before	was in default before
				that date.	that date.
			TP 21.1	From 1 April 2019,	From IP completion
			column (5)	or, if later, on exit	day, indefinitely
				day as defined in the	
				European Union	
				(Withdrawal) Act	
				2018, indefinitely	
			TP 21.1	1 April 2019	IP completion day
			column (6)		
Exiting the	В	GEN	2.2.36G(1)	The approach to	The approach to
European				what <i>rules</i> apply to	what rules apply to
Union:				TP firms is broadly	TP firms is broadly
Temporary				to apply <i>rules</i> to <i>TP</i>	to apply <i>rules</i> to <i>TP</i>
Permission				firms which applied	firms which applied
and				to them immediately	to them immediately
Financial				prior to the <i>UK</i> 's	prior to <i>IP</i>
Services				exit from the EU,	completion day,
Contracts				whether those rules	whether those rules
Instrument				applied in the <i>United</i>	applied in the United
2019 (FCA				Kingdom (as was the	Kingdom (as was
2019/36)				case for host state	the case for host
,				rules) or, where	state <i>rules</i>) or,
				rules are directive-	where rules are
				based, in the firm's	directive-based, in
				Home State or,	the firm's Home
				where relevant under	State or, where
				an EU measure in	relevant under an
				relation to which the	EU measure in
				law of the country of	relation to which the
				origin applies, the	law of the country of
				state where the	origin applies, the
				establishment is	state where the
				located and from	establishment is
				which the <i>firm</i> 's	located and from
				service is provided.	which the <i>firm</i> 's
				provided.	service is provided.
			TP 6.1	From exit day as	From IP completion
			column(5)	defined in the	day up to and
				European Union	including 31 March
				(Withdrawal) Act	2021.
				2018 up to and	2021.
				including 30 June	
				2019.	
			TP 6.1	On exit day as	On IP completion
			column (6)	defined in the	_
			column (0)	defined in the	day

				European Union	
				European Union (Withdrawal) Act	
				2018	
			TD 6.2		Enome ID a sum latinu
			TP 6.2	From exit day as	From IP completion
			column (5)	defined in the	day up to and
				European Union	including 31 March
				(Withdrawal) Act	2021.
				2018 up to and	
				including 30 June	
				2019.	
			TP 6.2	On exit day as	On IP completion
			column (6)	defined in the	day
				European Union	
				(Withdrawal) Act	
				2018	
			TP 6.3	From <i>exit day</i> as	From IP completion
			column (5)	defined in the	day up to and
				European Union	including 31 March
				(Withdrawal) Act	2021.
				2018 up to and	
				including 30 June	
				2019.	
			TP 6.3	On <i>exit day</i> as	On IP completion
			column (6)	defined in the	day
				European Union	
				(Withdrawal) Act	
				2018	
	C	FEES	Title to	Transitional	Transitional
			TP22	provisions relating to	provisions relating
				FSCS levy	to FSCS levy
				arrangements for TP	arrangements for TP
				firms from 1 April	firms from IP
				2019 or, if later, exit	completion day
				day	
			TP 22.1	From 1 April 2019,	From IP completion
			column (5)	or, if later, exit day,	day, indefinitely
			coluiiii (3)	indefinitely	aay, indefinitely
			TP 22.1	1 April 2019 or, if	IP completion day
			column (6)	later, exit day	11 сотрыноп аау
			TP 22.3	The changes in (2)	The changes in (2)
			column (4)	• , ,	apply to any levy
			(4)	apply to any levy made after 1 April	made after <i>IP</i>
				2019 or, if later, exit	completion day. This
					is so even if:
				day. This is so even if:	18 80 EVEII II
			TP 22 3		From IP completion
			TP 22.3	From 1 April 2019,	From IP completion
			TP 22.3 column (5)		From <i>IP completion</i> day, indefinitely

		TP 22.3	1 April 2019 or, if	IP completion day
		column (6)	later, exit day	ii compresson aasy
D	CASS	14.3.3R(1) (a)	for CASS small TP firms, the initial nine-month period from 1 April 2019 to 31 December 2019, and each subsequent 12-month period; or	for CASS small TP firms, the initial twelve-month period from 1 January 2021 to 31 December 2021, and each subsequent 12- month period; or
		14.3.3R(1) (b)	for CASS medium TP firms and CASS large TP firms, the initial one-month period from 1 April 2019 to 30 April 2019, and each subsequent one-month period; and	for CASS medium TP firms and CASS large TP firms, the initial one-month period from 1 January 2021 to 31 January 2021, and each subsequent one-month period; and
		14.3.3R(2) (a)(i)	(i) the shorter of: (A) the initial period from 1 April 2019 to the firm's accounting reference date, and (B) the initial period from 1 April 2019 to the last day of the six-month period after the firm's accounting reference date; and	(i) the shorter of: (A) the initial period from 1 January 2021 to the <i>firm's accounting reference date</i> , and (B) the initial period from 1 January 2021 to the last <i>day</i> of the six-month period after the <i>firm's accounting reference date</i> ; and
		14.3.3R(2) (b)(i)	(i) the shorter of: (A) the initial period from 1 April 2019 to the firm's accounting reference date, and (B) the initial period from 1 April 2019 to the last day of the threemonth period after the firm's accounting reference date; and	(i) the shorter of: (A) the initial period from 1 January 2021 to the firm's accounting reference date, and (B) the initial period from 1 January 2021 to the last day of the three-month period after the firm's accounting reference date; and
		14 Annex 2G Part 1 Section 1.1	The reporting period is a calendar period for which the <i>TPCAR</i> is required	The reporting period is a calendar period for which the <i>TPCAR</i> is required

Paragraph	to be completed in	to be completed in
1.1.2	accordance with	accordance with
1.1.2		
	CASS 14.3.1R,	CASS 14.3.1R,
	including the first	including the first
	day and the last day	day and the last day
	of the relevant	of the relevant
	period applicable to	period applicable to
	the <i>firm</i> . The first	the <i>firm</i> . The first
	reporting period	reporting period
	starts from 1 April	starts from 1 January
	2019.	2021.
	For example:	For example:
	• For a <i>firm</i>	• For a <i>firm</i>
	conducting	conducting
	investment services	investment services
	or activities under	or activities under
	their temporary	their temporary
	permission which is	permission which is
	subject to monthly	subject to monthly
	reporting under	reporting under
	<i>CASS</i> 14.3.3R, the	<i>CASS</i> 14.3.3R, the
	first reporting period	first reporting period
	will be 1 April 2019	will be 1 January
	to 30 April 2019,	2021 to 31 January
	regardless of	2021, regardless of
	whether or not any	whether or not any
	day in April is a	day in January is a
	business day.	business day.
	• For a <i>firm</i>	• For a firm
	conducting	conducting
	insurance	insurance
	distribution activities	distribution
	under their	activities under their
	temporary	temporary
	permission which is	permission which is
	subject to half-yearly	subject to half-
	reporting under	yearly reporting
	<i>CASS</i> 14.3.3R and	under CASS 14.3.3R
	has an accounting	and has an
	reference date of 31	accounting reference
	December, the first	date of 31 March,
	reporting period will	the first reporting
	be 1 April 2019 to	period will be 1
	30 June 2019,	January 2021 to 31
	regardless of	March 2021,
	whether or not any	regardless of
	day in this period is	whether or not any

			a business day. The	day in this period is
			I	-
			next reporting period	a business day. The
			for such a <i>firm</i> will	next reporting
			be 1 July 2019 to 31	period for such a
			December 2019.	<i>firm</i> will be 1 April
				2021 to 30
				September 2021.
E	COMP	6.2.4G	A <i>TP firm</i> that under	A <i>TP firm</i> to which
			section 213(9A) or	regulation 8 or 11 of
			section 213(9A)	the EU Exit
			[bis] of the <i>Act</i> is not	Passport
			to be regarded as a	Regulations applies,
			relevant person is	that is not to be
			not a participant	regarded as a
			firm. For the	relevant person
			purposes of the	under section
			FCA's compensation	213(9A) of the <i>Act</i>
			rules, this means that	(as inserted by
			i i	`
			most (but not all) TP	regulation 24 of the
			firms operating in	EU Exit Passport
			the <i>UK</i> without an	Regulations) is not a
			establishment are not	participant firm. A
			participant firms.	TP firm to which
				regulation 28 or 34
				of the EU Exit
				Passport
				Regulations applies,
				that is not to be
				regarded as a
				relevant person
				under section
				213(9A) of the <i>Act</i>
				(as inserted by
				regulation 70 of the
				EU Exit Passport
				Regulations) is not a
				participant firm.
				For the purposes of
				the FCA's
				compensation <i>rules</i> ,
				this means that most
				(but not all) TP
				firms operating in
				the <i>UK</i> without an
				establishment are
				not participant
				firms.

Dwiting the	A	Classom	ano avrit		non ID annual di an
Exiting the European Union: Glossary (Amendme	Anne	Glossary	pre-exit incoming EEA firm	pre-exit incoming EEA firm	pre-IP completion day incoming EEA firm
nts) Instrument					
2019 (FCA 2019/19)					
Exiting the European	В	COMP	6.2.3G	A pre-exit incoming EEA firm may be a	A pre-IP completion day incoming EEA
Union:				participant firm in	firm may be a
Redress Sourcebook				respect of acts or omissions	participant firm in respect of acts or
S					omissions
(Amendme nts)			10.2.5G	COMP 12.4.4R includes further	COMP 12.4.4R includes further
Instrument				limits relating to	limits relating to
2019 (FCA				certain ICD claims	certain ICD claims
2019/28)				against certain incoming EEA firms	against certain incoming EEA firms
				pre-exit incoming	pre-IP completion
				EEA firms, where	day incoming EEA
				the act or omission	<u>firms</u> , where the act or omission
			10.2.5G	under which	under which
				compensation may	compensation may
				be payable by the	be payable by the
				incoming EEA firm's pre-exit incoming	incoming EEA firm's pre-IP
				EEA firm's Home	completion day
				State compensation	incoming EEA
				scheme <u>EEA State</u> compensation	<u>firm's</u> Home State compensation
				scheme.	scheme <u>EEA State</u>
					<u>compensation</u>
			12.4.4R	If the claimant has	scheme. If the claimant has
			12.4.4K	an ICD claim against	an ICD claim
				an incoming EEA	against an incoming
				firm a pre-exit	EEA firm a pre-IP
				incoming EEA firm which is a MiFID	completion day incoming EEA firm
				investment firm or,	which is a MiFID
				where applicable, a	investment firm or,
				successor of such a firm.	where applicable, a successor of such a
					firm.

TP 1.1 row 45	(4) determining the <i>quantification</i> date in respect of,	(4) determining the <i>quantification</i> date in respect of,
	a pre-exit incoming firm, or the successor of such a firm.	a pre-IP completion day incoming EEA firm, or the successor of such a firm.
TP 1.1 row 46	The amendments and deletions referred to in column (2) are disapplied, in relation to a <i>claim</i> against a <i>pre-exit incoming EEA firm</i> in respect of any act or omission	The amendments and deletions referred to in column (2) are disapplied, in relation to a <i>claim</i> against a <i>pre-IP</i> completion day incoming EEA firm in respect of any act or omission