

SUPERVISION MANUAL (AMENDMENT NO 14) INSTRUMENT 2008

Powers exercised

- A. The Financial Services Authority makes this instrument in the exercise of:
- (1) the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
 - (a) section 138 (General rule-making power);
 - (b) section 139 (Miscellaneous ancillary matters);
 - (c) section 156 (General supplementary powers); and
 - (d) section 157(1) (Guidance); and
 - (2) the other 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 on 6 October 2008.

Amendments to the Handbook

- D. The Supervision manual (SUP) is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Supervision Manual (Amendment No 14) Instrument 2008.

By order of the Board
25 September 2008

Annex

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text.

10.13.16 R If a *firm* becomes aware of information which would reasonably be material to the assessment of an *approved person's*, or a *candidate's*, fitness and propriety (see *FIT*), it must inform the *FSA* on Form D, or (if it is more practical to do so and with the prior agreement of the *FSA*) by fax or e-mail, as soon as practicable.

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10.13.18 R (1) If, in relation to a *firm* which has completed the relevant Form A (*SUP* 10 Annex 4), any of the details in section 3.01 (Arrangements and controlled functions) are to change, the *firm* must notify the *FSA* on Form D, or (if it is more practical to do so and with the prior agreement of the *FSA*) by fax or e-mail.

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