

HANDBOOK ADMINISTRATION INSTRUMENT (No. 1) 2015**Powers exercised**

- A. The Prudential Regulation Authority (“PRA”) makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137G (The PRA’s general rules);
 - (2) section 137T (General supplementary powers); and
 - (3) paragraph 31 (Fees) of Part 3 (Penalties and Fees) of Schedule 1ZB (The Prudential Regulation Authority).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instrument) of the Act.

Pre-conditions to making

- C. In accordance with section 138J of the Act (Consultation by the PRA), the PRA consulted the Financial Conduct Authority. After consulting, the PRA published a draft of proposed rules and had regard to representations made.

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- D. The rules in the Modules of the PRA Rulebook listed in column (1) below are amended in accordance with the Annexes to this instrument listed in column (2).
- E. The PRA gives as guidance each provision in the annexes listed in column (2) that is marked with a G.

(1)	(2)
Fees Manual (FEES)	Annex A
Supervision manual (SUP)	Annex B

Commencement

- F. This instrument comes into force on 31 March 2015.

Citation

- G. This instrument may be cited as the Handbook Administration Instrument (No. 1) 2015.

By order of the Board of the Prudential Regulation Authority

30 March 2015

Annex A

Amendments to the Fees manual (FEES)

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

1.1 Application and Purpose

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Application

1.1.2 R This manual applies in the following way:

(2) FEES 1, 2 and 4 apply to:

...

- (m) every *AIFM* applying to become a *small registered UK AIFM* and every *small registered UK AIFM*; ~~and~~
- (n) every *AIFM* notifying the *FCA* under regulation 57, 58 and 59 of the *AIFMD UK regulation* and every *AIFM* which has made such a notification; and
- (o) each of the following that makes *transactions reports* directly to the *FCA* under *SUP 17* (Transaction reporting):
 - (i) a *firm*;
 - (ii) a third party acting on a *firm's* behalf;
 - (iii) an *approved reporting mechanism*;
 - (iv) an operator of a *regulated market*; and
 - (v) an operator of an *MTF*.

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3 Annex 1 R Authorisation fees payable

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Part 3 Complexity groupings relating to *credit-related regulated activities*

Straightforward cases

Activity Grouping	Description
CC.2	<i>Credit broking;</i> <i>Providing credit information services;</i> <i><u>Advising on regulated credit agreements for the acquisition of land</u></i>

...

...

4.2 Obligation to pay periodic fees

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Modifications for persons becoming subject to periodic fees during the course of a fee year

4.2.6 R

- (1) ~~Unless (2) applies, for~~ For the *fee year* during which the event described in column (4) of the table in *FEES* 4.2.11R and/or *FEES* 4.2.11AR, giving rise to, or giving rise to an increase in, the fee payable in *FEES* 4.2.1R occurs, the periodic fee required under *FEES* 4.2.1R is modified for:

...

- (2) ~~For *recognised bodies*, if the recognition order is made during the course of the relevant *fee year* the periodic fee required is set out in Column (4) of the table in *FEES* 4.2.11R. [deleted]~~

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Annex B

Amendments to the Supervision manual (SUP)

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

16 Reporting Requirements

16.1 Application

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16.1.3 R Application of different sections of SUP 16 (excluding SUP 16.13, SUP 16.15, SUP 16.16 and SUP 16.17)

(1) Section(s)	(2) Categories of firm to which section applies	(3) Applicable rules and guidance
...		
<i>SUP 16.6</i>	<i>Bank</i>	<i>SUP 16.6.4R to SUP 16.6.5R</i>
	<i>Depositary of an ICVC</i>	<i>SUP 16.6.6R to SUP 16.6.9G</i>
	<i>OPS firm</i>	<i>SUP 16.6.6R to SUP 16.6.8R</i>
	<i>Trustee of an AUT</i>	<i>SUP 16.6.6R to SUP 16.6.9G</i>
	<i>Depositary of an ACS</i>	<i>SUP 16.6.6R to SUP 16.6.9G</i>
...		

...

16.6 Compliance reports

...

16.6.2 G Applicable provisions of this section (see *SUP 16.6.1G*)

Category of firm	Applicable provisions
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<i>Bank</i>	<i>SUP 16.6.4R - SUP 16.6.5R</i>
<i>Trustee of an AUT</i> <i>Depository of an ICVC</i> <i>Depository of an ACS</i>	<i>SUP 16.6.6R - SUP 16.6.9G</i>
<i>OPS firm</i>	<i>SUP 16.6.6R - SUP 16.6.8R</i>

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