

## General Provisions

### GEN TP 1 Transitional provisions

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
5	GEN 6.1	R	<p>GEN 6.1 does not:</p> <p><b>(1) apply to an unamended <i>contract of insurance</i>, first entered into on or before 24 July 2003; or</b></p> <p><b>(2) prohibit a <i>firm</i> from claiming on, or making a payment under, a <i>contract of insurance</i>:</b></p> <p><b>(a) in connection with a financial penalty imposed by the FSA pursuant to a <i>warning notice</i> issued before 25 July 2003; or</b></p> <p><b>(b) first entered into between 25 July 2003 and 31 December 2003 in respect of a financial penalty imposed by the FSA by a <i>final notice</i> issued on or before 31 December 2003.</b></p> <p><b>(For these purposes only, a <i>contract of insurance</i> will be regarded as un-amended if:</b></p> <p><b>(i) it was amended on or before 24 July 2003; or</b></p> <p><b>(ii) it was amended after 24 July 2003, but the amendments did not affect the duration or scope of any indemnity against a financial penalty imposed by the FSA under the Act.)</b></p>	From 1 January 2004	1 January 2004
9	GEN 5 An-	G	[expired]		

(1)	(2) Material to which the transitional provision applies	(3)	(4) Transitional provision	(5) Transitional provision: dates in force	(6) Handbook provision: coming into force
	next 1 G				
10	GEN 4.3.1 R	R	[expired]		
11	GEN 4.5	R	[expired]		
12	GEN 4 Annex 1 R	R	[expired]		
13	GEN 4.3.1 R, GEN 4 Annex 1 R and GEN 4 Annex 1A	R	[expired]		
14	GEN 4.5.3 R and GEN 4.5.4 R	R	[expired]		
15	Rules and directions implementing MiFID II	R	[expired]		
16	Rules and directions implementing	G	[expired]		

(1)	(2) Material to which the transi- tional provi- sion applies	(3)	(4) Transitional provision	(5) Transi- tional provi- sion: dates in force	(6) Handbook provision: coming into force
	Mi- FID II				

**GEN TP 1.3 (4) Transitional Provisions applying to GEN only**

The reference to "GEN 6.1" in the table above must be read as "GEN 6.1 and General Provisions 7 in the Handbook"

