

Rulebook mapping table

The table below maps across provisions from the Prudential Regulation Authority's Handbook with the draft provisions that will, once made, be incorporated into the PRA Rulebook. Chapter 1 of each Part sets out the rules on application and definitions. It has not been included from this table, as well as chapters which contain rules that set out links to forms.

Rulebook Part/chapter/rule	Handbook module/rule	
General Organisational Requirements	SYSC 4-9	
2 General requirements		
2.1	4.1.1R	
2.2	4.1.2R	
2.3	4.1.4R	
2.4	4.1.5R	
2.5	4.1.6R	
2.6	4.1.7R	
2.7	4.1.9R	
2.8	4.1.10R	
2.9	4.1.15R	
3 Persons who effectively direct the business		
3.1	4.2.1R	
3.2	4.2.6R	
4 Responsibility of senior personnel	,	
4.1	4.3.1R	
4.2	4.3.2R	
5 Management body		
5.1	4.3A.1R	
5.2	4.3A.3R	
5.3	4.3A.4R	
5.4	4.3A.5R	
5.5	4.3A.6R	
5.6	4.3A.7R	
5.7	4.3A.2R	
6 Nomination committee		
6.1	4.3A.8R	
6.2	4.3A.9R	
6.3	4.3A.10R	
6.4	4.3A.11R	
Skills, knowledge and expertise		
2 Skills, knowledge and expertise		
2.1	5.1.1R	
3 Segregation of functions		
3.1	5.1.6R	
3.2	5.1.7R	
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4 Awareness of procedures		
4.1	5.1.12R	
5 General	3.1.12N	
5.1	5.1.13R	
5.2	5.1.13K 5.1.14R	
	5.1.14K	
Compliance and internal audit		
2 Compliance		
2.1	6.1.1R	
2.2	6.1.2R	
2.3	6.1.3R	
2.4	6.1.4R	
2.5	6.1.5R	
2.6	6.1.7R	
3 Internal audit		
3.1	6.2.1R	
Risk Control		
2 Risk control		
2.1	7.1.2R	
2.2	7.1.3R	
2.3	7.1.4R	
2.4	7.1.5R	
2.5	7.1.6R	
2.6	7.1.7R	
3 Risk committee	<u> </u>	
3.1	7.1.18R	
3.2	7.1.19R	
3.3	7.1.20R	
3.4	7.1.21R	
3.5	7.1.22R	
Outsourcing		
2 Outsourcing		
2.2	8.1.4R	
2.3	8.1.5R	
2.4	8.1.6R	
2.5	8.1.7R	
2.6	8.1.8R	
2.7	8.1.9R	
2.8	8.1.10R	
2.9	8.1.11R	
Record keeping		
Record keeping		
2.1	9.1.1R	
2.2	9.1.2R	
2.3	9.1.3R	
2.0	3.1.0IX	



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Notifications	SUP 16.10
Core information requirements	
5.3A	SUP 16.10.AR(3)
5.5(2)	SUP 16.10.4AR
5.5(3)	SUP 16.10.4AR(2)
Change in control	SUP 11/SUP 16.4
2 Obligations on controllers	
2.1	11.3.7D
2.2	11.3.10D
2.3	11.3.15AD
3 Obligations on firms	
3.1	11.4.2R
3.2	11.4.2AR
3.3	11.4.2AR
3.4	11.4.4R
3.5	11.5.1R, 11.5.2R, 11.4.7R(3) and 11.5.7R
3.6	11.3.10D
3.7	11.6.3R
3.8	11.6.3R
3.9	11.6.5R
4 Ongoing notification requirements	Thelett
4.1	11.4.10R and 11.4.11G
4.2	11.8.1R
5 Annual controllers reports	11.0.110
5.1	16.4.5R
5.2	16.4.10R
5.3	16.4.11R
5.4	16.4.12R
Close links	SUP 11.9/SUP 16.5
2 Requirement to notify changes in close links	301 110,001 100
2.1	SUP 11.9.1BR(1)
2.2	SUP 11.9.1BR(1)(a), SUP 11.9.3CAR, SUP
2.3	11.9.4BR(2) SUP 11.9.3CBR
2.4	SUP 11.9.1BR(1)
2.5	SUP 11.9.1BR(1)(b)
3 Election to notify changes in close links on a	COT 11.9.1BIX(1)(0)
monthly basis	OUD 44 0 FDD(4)
3.1	SUP 11.9.5BR(1)
3.2	SUP 11.9.5BR(2)
4 Annual close links report	
4.1	SUP 16.5.4R(6) , SUP 16.5.4AR
4.2	SUP 16.5.8R
4.3	SUP 16.5.4R(6)
General Provisions	GEN 1, 4, 6



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2.2 (1)	2 Emergency		
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5.2 4.5.3A R 5.3 4.5.4A R 6 Disclosure to retail clients on activities from non-UK establishments 6.1 (1) 4.4.1R(1) 6.1 (1) (a) 4.4.1R(1) (a) 6.1 (1) (b) 4.4.1R(1) (b) 6.1 (2) (d) 4.1.1R(5) 6.2 4.4.1R (1) and (2) 6.3 4.4.1R(3) 7 Insurance against financial penalties 7.1 6.1.1R 7.2 6.1.4AR 7.3 6.1.5R	5.1 (2) (c)	4.1.1R(3)	
5.3 4.5.4A R 6 Disclosure to retail clients on activities from non-UK establishments 6.1 (1) 4.4.1R(1) 6.1 (1) (a) 4.4.1R(1) (a) 6.1 (1) (b) 4.4.1R(1) (b) 6.1 (2) (d) 4.1.1R(5) 6.2 4.4.1R (1) and (2) 6.3 4.4.1R(3) 7 Insurance against financial penalties 7.1 6.1.1R 7.2 6.1.4AR 7.3 6.1.5R	5.1 (2) (d)	4.1.1R(5)	
6 Disclosure to retail clients on activities from non-UK establishments 6.1 (1)	5.2	4.5.3A R	
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6.1 (2) (d) 4.1.1R(5) 6.2 4.4.1R (1) and (2) 6.3 4.4.1R(3) 7 Insurance against financial penalties 7.1 6.1.1R 7.2 6.1.4AR 7.3 6.1.5R	6.1 (1) (a)	4.4.1R(1) (a)	
6.1 (2) (d) 4.1.1R(5) 6.2 4.4.1R (1) and (2) 6.3 4.4.1R(3) 7 Insurance against financial penalties 7.1 6.1.1R 7.2 6.1.4AR 7.3 6.1.5R	6.1 (1) (b)	4.4.1R(1) (b)	
6.3 4.4.1R(3) 7 Insurance against financial penalties 7.1 6.1.1R 7.2 6.1.4AR 7.3 6.1.5R			
7 Insurance against financial penalties 7.1 6.1.1R 7.2 6.1.4AR 7.3 6.1.5R	6.2	4.4.1R (1) and (2)	
7.1 6.1.1R 7.2 6.1.4AR 7.3 6.1.5R	6.3	4.4.1R(3)	
7.2 6.1.4AR 7.3 6.1.5R	7 Insurance against financial penalties		
7.3 6.1.5R	7.1	6.1.1R	
	7.2	6.1.4AR	
7.4 6.1.6R	7.3	6.1.5R	
	7.4	6.1.6R	