

Financial Services Alerter

DECEMBER 2019



FCA publishes Quarterly Consultation Paper

On 6 December 2019, the FCA published [consultation paper](#) CP19/33, “Quarterly Consultation Paper No 26”, seeking feedback on a range of amendments to the FCA Handbook. The consultation period closes on 6 January 2020 for the following sections:

- Listing Rules references to the Prospectus Regulation (chapter 3);
- changes to reporting requirements in the Supervision manual (chapter 7); and
- further Brexit-related changes to the FCA Handbook and binding technical standards following the extension of Article 50 (chapter 8).

The consultation period closes on 6 February 2020 for the following sections:

- claims against appointed representatives and principles (chapter 2);
- amendments to the Listing Rules to include a requirement mandating the disclosure of rights attached to securities (chapter 4);
- amendments to the FCA Handbook to reflect changes made by the Financial Guidance and Claims Act (chapter 5); and
- payment services and electronic money: changes to PERG 15:3 (chapter 6).

FCA publishes Handbook Notice

On 13 December 2019, the FCA published [Handbook Notice 72](#), setting out changes made to the following sections of the FCA Handbook by the FCA Board on 21 November 2019 and 12 December 2019:

- Appendix 1, Appendix 2;
- APER 3.1;
- COBS 4.7, 4.14, 9A.2, 9.3 and COBS 6.1H (new section);
- COCON 3.1;
- DEPP 6.2;
- DTR 4.1, 7.1, 7.2;
- FEES 4;
- Glossary;
- LR 9.8, 15.6;
- SUP 15 Annex 6AR, 15 Annex 6CR, 15 Annex 6DR, 15 Annex 6ED, 15 Annex 6FG;
- TP 1; and
- TR 11, TR 13.

FCA publishes call for input on open finance

On 17 December 2019, the FCA published a [call for input](#) on open finance, seeking feedback on the following, among other topics:

- whether open banking is achieving its potential;
- the potential benefits of open finance; and
- what role the FCA could play in assisting open finance to develop in a constructive way.

The consultation period closes on 17 March 2020.

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