



**Wolters Kluwer**  
Financial Services

# Financial Services Authority Handbook

Your Authoritative Source for Securities Compliance Rules and Regulations Within the United Kingdom

Securities compliance professionals have long relied on Wolters Kluwer Financial Services, to understand the regulatory environment in the United States. Now the most trusted source in the securities compliance industry is expanding its coverage to include the United Kingdom by introducing the Financial Services Authority (FSA) Handbook. In addition to FSA regulations, the FSA Handbook includes examples of interpretations of the regulations and other information that helps clarify how the regulations are applied.

## Let Wolters Kluwer Financial Services Empower You

The FSA content will enable you to:

- Quickly and easily access FSA regulations and rules
- Conduct business in compliance with FSA regulations and rules
- Accurately answer questions relating to compliance
- Access comprehensive information that enables you to make well informed decisions
- Compare and contrast rules and regulations in the United States with those in the United Kingdom

## Wolters Kluwer Financial Services Expands Its Coverage to Include the United Kingdom

As your business expands across borders, you need quick, easy access to worldwide securities regulations to help your firm stay compliant. For more than 70 years, Wolters Kluwer Financial Services, has been the industry's premier source of securities compliance information and tools. With coverage of the United States, Canada, and Australia, our powerful database of securities compliance rules and regulations is now expanding to include the United Kingdom. In order to provide you with efficient access to the regulatory information you need, our materials are available on a platform known for its intuitive search engine. With just a few keystrokes, you'll have access to information and analysis that help your firm stay compliant as you conduct business around the globe.

## Access the FSA Handbook in the Compliance Resource Network

The Compliance Resource Network is an online site that provides fast and convenient access to the regulatory information you need to strengthen your firm's securities compliance program. The Compliance Resource Network empowers you to search by keyword or rule number or to browse through an electronic table of contents so that you can efficiently access accurate information on which you can depend.

## Stay Up-to-Date on the Latest News from the FSA

Wolters Kluwer Financial Services also covers the FSA in its Securities Compliance Tracker. This product offers a convenient, efficient way to stay up-to-date on ever-changing securities compliance regulations. Customers who subscribe to the Securities Compliance Tracker receive an email each morning that includes the latest regulatory compliance news that is important to them. The Securities Compliance Tracker covers 14 U.S. regulators and now the FSA. Customers customise their subscription by selecting what type of news they want delivered to them.



## Wolters Kluwer Financial Services Provides Much More Than the Rules

Wolters Kluwer Financial Services offers the FSA Handbook as well as related materials that provide examples, interpretations, and guidance that you need to make informed decisions about practical application of U.K. regulations. By subscribing to Wolters Kluwer Financial Services and the FSA Handbook, you get access to a vast array of materials, including:

- **FSA Handbook** — The FSA's rules and regulations
- **Handbook Notices** — An introduction to the Handbook and other information relating to the FSA, including a list of corrections to instruments published by the FSA
- **Handbook Development Newsletters** — Information about recent Handbook-related developments, an updated timetable for forthcoming publications, and information about forthcoming conferences and training events
- **Dear CEO Letters** — Letters and emails from the FSA to chief executive officers on various topics
- **Bulletins and Newsletters** — Newsletters and bulletins published by the FSA, including bulletins about authorizations and comparative tables and newsletters giving the latest updates from the U.K. Listing Authority (UKLA)
- **Speeches** — Text of speeches given by officials of the FSA
- **Press Releases** — Press releases issued by the FSA
- **List of Banks** — A list published by the FSA of regulated firms that businesses and the public would think of as banks
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## Wolters Kluwer Financial Services Is Your Comprehensive Source for Compliance Information

Wolters Kluwer Financial Services offers a diverse set of products that keep securities compliance professionals informed about the ever-changing regulatory environment. Our information covers the U.K., U.S., Canadian and Australian markets. U.S. coverage includes:

- Federal securities resources
- State securities resources
- Exchange and self-regulatory organisation rulebooks
- Investor adviser manuals
- Hedge fund manuals
- Securities professionals' personal trading activities

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