



## 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
<b>General Organisational Requirements</b>	<b>SYSC 4-9</b>
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
<b>Skills, knowledge and expertise</b>	
2 Skills, knowledge and expertise	
2.1	5.1.1R
3 Segregation of functions	
3.1	5.1.6R
3.2	5.1.7R



4 Awareness of procedures	
4.1	5.1.12R
5 General	
5.1	5.1.13R
5.2	5.1.14R
<b>Compliance and internal audit</b>	
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
<b>Risk Control</b>	
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	
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
<b>Outsourcing</b>	
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
<b>Record keeping</b>	
Record keeping	
2.1	9.1.1R
2.2	9.1.2R
2.3	9.1.3R



<b>Notifications</b>	<b>SUP 16.10</b>
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)
<b>Change in control</b>	<b>SUP 11/SUP 16.4</b>
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	
4.1	11.4.10R and 11.4.11G
4.2	11.8.1R
5 Annual controllers reports	
5.1	16.4.5R
5.2	16.4.10R
5.3	16.4.11R
5.4	16.4.12R
<b>Close links</b>	<b>SUP 11.9/SUP 16.5</b>
2 Requirement to notify changes in close links	
2.1	SUP 11.9.1BR(1)
2.2	SUP 11.9.1BR(1)(a), SUP 11.9.3CAR, SUP 11.9.4BR(2)
2.3	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 monthly basis	
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)
<b>General Provisions</b>	<b>GEN 1, 4, 6</b>



2 Emergency	
2.2 (1)	1.3.2R(1)
2.2 (2)	1.3.2R(2)
2.2 (3)	1.3.2R(3)
3 Disclosure to retail clients	
3.1 (2) (e)	4.3.4R(1)
3.1 (2) (f)	4.3.4R(2)
3.1 (2) (g)	4.3.3G
3.2	4.3.1R
3.2(1)	4 Annex 1AR(1)
3.2(2)	4 Annex 1AR(2)
3.2(3)	4 Annex 1AR(3)
3.2(4)	4 Annex 1AR(4)
3.2(5)	4 Annex 1AR(5)
3.2(5)	4 Annex 1AR(6)
4 Referring to approval by the PRA	
4.2 (1)	1.2.2R(1)
4.2 (2)	1.2.2R(2)
5 Statements about authorisation and regulation by the PRA	
5.1 (1) (b)	4.1.4R
5.1 (1) (c)	4.5.1 R (1)
5.1 (2) (a)	4.1.1R(1)
5.1 (2) (b)	4.1.1R(2)
5.1 (2) (c)	4.1.1R(3)
5.1 (2) (d)	4.1.1R(5)
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
7.4	6.1.6R