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Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS13.0	@sipp (Pension Trustees) Ltd	465289	06/04/2015	31/10/2016	Modification
COBS14.0	@sipp (Pension Trustees) Ltd	465289	06/04/2015	31/10/2016	Modification
COBS13.0	@SIPP LIMITED	462907	06/04/2015	31/10/2016	Modification
COBS14.0	@SIPP LIMITED	462907	06/04/2015	31/10/2016	Modification
COBS13.0	Alliance Trust Savings Limited	116115	06/04/2015	31/10/2016	Modification
COBS14.0	Alliance Trust Savings Limited	116115	06/04/2015	31/10/2016	Modification
COBS13.0	Alltrust Services Limited	461966	06/04/2015	31/10/2016	Modification
COBS14.0	Alltrust Services Limited	461966	06/04/2015	31/10/2016	Modification
COBS13.0	Assicurazioni Generali SpA	139430	06/04/2015	31/10/2016	Modification
COBS14.0	Assicurazioni Generali SpA	139430	06/04/2015	31/10/2016	Modification
COBS13.0	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS14.0	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS13.0	Avalon Investment Services Limited	190602	26/05/2015	31/10/2016	Modification
COBS14.0	Avalon Investment Services Limited	190602	26/05/2015	31/10/2016	Modification
COBS13.0	Aviva Life & Pensions UK Limited	185896	01/11/2016	05/05/2017	Modification
COBS14.0	Aviva Life & Pensions UK Limited	185896	01/11/2016	05/05/2017	Modification
COBS13.0	Aviva Life & Pensions UK Limited	185896	06/04/2015	31/10/2016	Modification
COBS14.0	Aviva Life & Pensions UK Limited	185896	06/04/2015	31/10/2016	Modification
COBS13.0	Aviva Pension Trustees UK Limited	465132	01/11/2016	05/04/2017	Modification
COBS14.0	Aviva Pension Trustees UK Limited	465132	01/11/2016	05/04/2017	Modification
COBS13.0	Aviva Pension Trustees UK Limited	465132	06/04/2015	31/10/2016	Modification
COBS14.0	Aviva Pension Trustees UK Limited	465132	06/04/2015	31/10/2016	Modification
COBS13.0	BlackRock Life Limited	202909	06/04/2015	31/10/2016	Modification
COBS14.0	BlackRock Life Limited	202909	06/04/2015	31/10/2016	Modification
COBS13.0	BlackRock Life Limited	202909	01/11/2016	05/04/2017	
COBS13.0	BW SIPP LLP	458323	06/04/2015	31/10/2016	Modification
COBS14.0	BW SIPP LLP	458323	06/04/2015	31/10/2016	Modification

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COBS13.0	Cabot Trustees Limited	463010	06/04/2015	31/10/2016	Modification
COBS14.0	Cabot Trustees Limited	463010	06/04/2015	31/10/2016	Modification
COBS13.0	Canada Life Limited	110394	01/11/2016	04/05/2017	Modification
COBS14.0	Canada Life Limited	110394	01/11/2016	04/05/2017	Modification
COBS13.0	Canada Life Limited	110394	06/04/2015	31/10/2016	Modification
COBS14.0	Canada Life Limited	110394	06/04/2015	31/10/2016	Modification
COBS13.0	Capita Life & Pensions Regulated Services Limited	145540	06/04/2015	31/10/2016	Modification
COBS14.0	Capita Life & Pensions Regulated Services Limited	145540	06/04/2015	31/10/2016	Modification
COBS13.0	Countrywide Assured Plc	141916	01/11/2016	05/04/2017	Modification
COBS14.0	Countrywide Assured Plc	141916	01/11/2016	05/04/2017	Modification
COBS13.0	Countrywide Assured Plc	141916	06/04/2015	31/10/2016	Modification
COBS14.0	Countrywide Assured Plc	141916	06/04/2015	31/10/2016	Modification
COBS13.0	Curtis Banks Limited	492502	06/04/2015	31/10/2016	Modification
COBS14.0	Curtis Banks Limited	492502	06/04/2015	31/10/2016	Modification
COBS13.0	Curtis Banks Limited	492502	01/11/2016	05/04/2017	Modification
COBS14.0	Curtis Banks Limited	492502	01/11/2016	05/04/2017	Modification
COBS13.0	David Booler & Company	146287	19/05/2015	31/10/2016	Modification
COBS14.0	David Booler & Company	146287	19/05/2015	31/10/2016	Modification
COBS13.0	David Booler SIPP Trustees Limited	465550	19/05/2015	31/10/2016	Modification
COBS14.0	David Booler SIPP Trustees Limited	465550	19/05/2015	31/10/2016	Modification
COBS13.0	DP Pensions Limited	463171	06/04/2015	31/10/2016	Modification
COBS14.0	DP Pensions Limited	463171	06/04/2015	31/10/2016	Modification
COBS13.0	DP Pensions Limited	463171	01/11/2016	05/04/2017	
COBS14.0	DP Pensions Limited	463171	01/11/2016	05/04/2017	
COBS13.0	Ebor Trustees Limited	462002	06/04/2015	31/10/2016	Modification
COBS14.0	Ebor Trustees Limited	462002	06/04/2015	31/10/2016	Modification
COBS13..0	EBS Pensions Limited	134908	06/04/2015	31/10/2016	Modification
COBS14..0	EBS Pensions Limited	134908	06/04/2015	31/10/2016	Modification
COBS13.0	Elevate Portfolio Services Limited	144849	06/04/2015	31/10/2016	Modification
COBS14.0	Elevate Portfolio Services Limited	144849	06/04/2015	31/10/2016	Modification

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COBS13.0	Elevate Portfolio Services Limited	144849	01/11/2016	05/04/2017	Modification
COBS14.0	Elevate Portfolio Services Limited	144849	01/11/2016	05/04/2017	Modification
COBS13.0	Embark Investment Services Limited	737356	04/05/2016	05/04/2017	Modification
COBS14.0	Embark Investment Services Limited	737356	04/05/2016	05/04/2017	Modification
COBS13.0	Embark Services Limited	120820	06/04/2015	31/10/2016	Modification
COBS14.0	Embark Services Limited	120820	06/04/2015	31/10/2016	Modification
COBS13.0	Embark Services Limited	120820	04/05/2016	05/04/2017	Modification
COBS14.0	Embark Services Limited	120820	04/05/2016	05/04/2017	Modification
COBS13.0	European Pensions Management Limited	461099	06/04/2015	31/10/2016	Modification
COBS14.0	European Pensions Management Limited	461099	06/04/2015	31/10/2016	Modification
COBS13.0	FIL Life Insurance Limited	186526	01/11/2016	05/04/2017	Modification
COBS14.0	FIL Life Insurance Limited	186526	01/11/2016	05/04/2017	Modification
COBS13.0	FIL Life Insurance Limited	186526	06/04/2015	31/10/2016	Modification
COBS14.0	FIL Life Insurance Limited	186526	06/04/2015	31/10/2016	Modification
COBS13.0	Financial Administration Services Limited	122169	01/11/2016	05/04/2017	Modification
COBS14.0	Financial Administration Services Limited	122169	01/11/2016	05/04/2017	Modification
COBS13.0	Financial Administration Services Limited	122169	06/04/2015	31/10/2016	Modification
COBS14.0	Financial Administration Services Limited	122169	06/04/2015	31/10/2016	Modification
COBS13.0	Friends Life and Pensions Limited	110414	01/11/2016	05/04/2017	Modification
COBS14.0	Friends Life and Pensions Limited	110414	01/11/2016	05/04/2017	Modification
COBS13.0	Friends Life and Pensions Limited	110414	06/04/2015	31/10/2016	Modification
COBS14.0	Friends Life and Pensions Limited	110414	06/04/2015	31/10/2016	Modification
COBS13.0	Friends Life Limited	196142	01/11/2016	05/04/2017	Modification
COBS14.0	Friends Life Limited	196142	01/11/2016	05/04/2017	Modification
COBS13.0	Friends Life Limited	196142	06/04/2015	31/10/2016	Modification
COBS14.0	Friends Life Limited	196142	06/04/2015	31/10/2016	Modification
COBS13.0	GPC SIPP LTD.	463717	06/04/2015	31/10/2016	Modification
COBS14.0	GPC SIPP LTD.	463717	06/04/2015	31/10/2016	Modification
COBS13.0	Hawthorn Life Limited	415034	06/04/2015	31/10/2016	Modification
COBS14.0	Hawthorn Life Limited	415034	06/04/2015	31/10/2016	Modification

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COBS13.0	Hawthorn Life Limited	415034	01/11/2016	05/04/2017	Modification
COBS14.0	Hawthorn Life Limited	415034	01/11/2016	05/04/2017	Modification
COBS13.0	Heritage Pensions Limited	475096	06/04/2015	31/10/2016	Modification
COBS14.0	Heritage Pensions Limited	475096	06/04/2015	31/10/2016	Modification
COBS13.0	HSBC Life (UK) Limited	133435	06/04/2015	31/10/2016	Modification
COBS14.0	HSBC Life (UK) Limited	133435	06/04/2015	31/10/2016	Modification
COBS13.0	HSBC Trust Company (UK) Ltd	119297	06/04/2015	31/10/2016	Modification
COBS14.0	HSBC Trust Company (UK) Ltd	119297	06/04/2015	31/10/2016	Modification
COBS13.0	I.P.M. SIPP Administration Limited	464270	03/06/2015	31/10/2016	Modification
COBS14.0	I.P.M. SIPP Administration Limited	464270	03/06/2015	31/10/2016	Modification
COBS13.0	IntegraLife UK Limited	110344	06/04/2015	31/10/2016	Modification
COBS14.0	IntegraLife UK Limited	110344	06/04/2015	31/10/2016	Modification
COBS13.0	IntegraLife UK Limited	110344	28/06/2016	05/04/2017	Modification
COBS14.0	IntegraLife UK Limited	110344	28/06/2016	05/04/2017	Modification
COBS13.0	Integrated Financial Arrangements LTD	190856	28/06/2016	05/04/2017	Modification
COBS14.0	Integrated Financial Arrangements LTD	190856	28/06/2016	05/04/2017	Modification
COBS13.0	Integrated Financial Arrangements LTD	190856	06/04/2015	31/10/2016	Modification
COBS14.0	Integrated Financial Arrangements LTD	190856	06/04/2015	31/10/2016	Modification
COBS13.0	Investec Wealth & Investment Limited	124537	06/04/2015	31/10/2016	Modification
COBS14.0	Investec Wealth & Investment Limited	124537	06/04/2015	31/10/2016	Modification
COBS13.0	Jessop Fund Managers Limited	452904	06/04/2015	31/10/2016	Modification
COBS13.0	Just Retirement Limited	232595	14/10/2016	05/04/2017	Modification
COBS14.0	Just Retirement Limited	232595	14/10/2016	05/04/2017	Modification
COBS13.0	Just Retirement Limited	232595	06/04/2015	31/10/2016	Modification
COBS14.0	Just Retirement Limited	232595	06/04/2015	31/10/2016	Modification
COBS13.0	Killik & Co LLP	462016	06/04/2015	31/10/2016	Modification
COBS14.0	Killik & Co LLP	462016	06/04/2015	31/10/2016	Modification
COBS13.0	Legal & General (Portfolio Management Services) Ltd	146786	06/04/2015	31/10/2016	Modification
COBS14.0	Legal & General (Portfolio Management Services) Ltd	146786	06/04/2015	31/10/2016	Modification
COBS13.0	Legal and General Assurance Society Limited	117659	06/04/2015	31/10/2016	Modification

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COBS14.0	Legal and General Assurance Society Limited	117659	06/04/2015	31/10/2016	Modification
COBS13.0	Liberty Sipp Limited	476409	06/04/2015	31/10/2016	Modification
COBS14.0	Liberty Sipp Limited	476409	06/04/2015	31/10/2016	Modification
COBS13.0	Link Fund Solutions Limited	119197	01/11/2016	05/04/2017	Modification
COBS14.0	Link Fund Solutions Limited	119197	01/11/2016	05/04/2017	Modification
COBS13.0	Liverpool Victoria Friendly Society Limited	110035	01/11/2016	05/04/2017	Modification
COBS14.0	Liverpool Victoria Friendly Society Limited	110035	01/11/2016	05/04/2017	Modification
COBS13.0	Liverpool Victoria Friendly Society Limited	110035	06/04/2015	31/10/2016	Modification
COBS14.0	Liverpool Victoria Friendly Society Limited	110035	06/04/2015	31/10/2016	Modification
COBS13.0	M C Trustees (Pensions) Limited	461226	01/11/2016	05/04/2017	Modification
COBS14.0	M C Trustees (Pensions) Limited	461226	01/11/2016	05/04/2017	Modification
COBS13.0	M C Trustees (Pensions) Limited	461226	06/04/2015	31/10/2016	Modification
COBS14.0	M C Trustees (Pensions) Limited	461226	06/04/2015	31/10/2016	Modification
COBS13.0	Margetts Fund Management Limited	208565	01/07/2016	01/07/2016	Modification
COBS14.0	Margetts Fund Management Limited	208565	01/07/2016	01/07/2016	Modification
COBS13.0	Mattioli Woods PLC	220743	09/09/2016	05/04/2017	Modification
COBS14.0	Mattioli Woods PLC	220743	09/09/2016	05/04/2017	Modification
COBS13.0	Mattioli Woods PLC	220743	09/04/2015	31/10/2016	Modification
COBS14.0	Mattioli Woods PLC	220743	09/04/2015	31/10/2016	Modification
COBS13.0	MetLife Europe d.a.c.	456829	06/04/2015	31/10/2016	Modification
COBS14.0	MetLife Europe d.a.c.	456829	06/04/2015	31/10/2016	Modification
COBS13.0	MJF Pension Trustees Limited	465762	06/04/2015	31/10/2016	Modification
COBS14.0	MJF Pension Trustees Limited	465762	06/04/2015	31/10/2016	Modification
COBS13.0	Momentum Pensions Limited	464521	21/12/2016	05/04/2017	Modification
COBS14.0	Momentum Pensions Limited	464521	21/12/2016	05/04/2017	Modification
COBS13.0	Namulas Pension Trustees Limited	463426	06/04/2015	31/10/2016	Modification
COBS14.0	Namulas Pension Trustees Limited	463426	06/04/2015	31/10/2016	Modification
COBS13.0	Namulas Pension Trustees Limited	463426	01/11/2016	05/04/2017	Modification
COBS14.0	Namulas Pension Trustees Limited	463426	01/11/2016	05/04/2017	Modification
COBS13.0	Novia Financial Plc	481600	01/11/2016	05/04/2017	Modification

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COBS14.0	Novia Financial Plc	481600	01/11/2016	05/04/2017	Modification
COBS13.0	Novia Financial Plc	481600	06/04/2015	31/10/2016	Modification
COBS14.0	Novia Financial Plc	481600	06/04/2015	31/10/2016	Modification
COBS13.0	Old Mutual Wealth Life & Pensions Limited	207977	10/11/2016	05/04/2017	Modification
COBS14.0	Old Mutual Wealth Life & Pensions Limited	207977	10/11/2016	05/04/2017	Modification
COBS13.0	Old Mutual Wealth Life & Pensions Limited	207977	06/04/2015	31/10/2016	Modification
COBS14.0	Old Mutual Wealth Life & Pensions Limited	207977	06/04/2015	31/10/2016	Modification
COBS13.0	Old Mutual Wealth Life Assurance Limited	110462	06/04/2015	31/10/2016	Modification
COBS14.0	Old Mutual Wealth Life Assurance Limited	110462	06/04/2015	31/10/2016	Modification
COBS13.0	Old Mutual Wealth Life Assurance Limited	110462	10/11/2016	05/04/2017	Modification
COBS14.0	Old Mutual Wealth Life Assurance Limited	110462	10/11/2016	05/04/2017	Modification
COBS13.0	Parmenion Capital Partners LLP	462085	06/04/2015	31/10/2016	Modification
COBS14.0	Parmenion Capital Partners LLP	462085	06/04/2015	31/10/2016	Modification
COBS13.0	Phoenix AW Limited	119201	19/12/2016	05/04/2017	Modification
COBS14.0	Phoenix AW Limited	119201	19/12/2016	05/04/2017	Modification
COBS13.0	Phoenix AW Limited	119201	06/04/2015	31/10/2016	Modification
COBS14.0	Phoenix AW Limited	119201	06/04/2015	31/10/2016	Modification
COBS13.0	Phoenix Life Assurance Limited	117667	06/04/2015	31/10/2016	Modification
COBS14.0	Phoenix Life Assurance Limited	117667	06/04/2015	31/10/2016	Modification
COBS13.0	Phoenix Life Limited	110418	06/04/2015	31/10/2016	Modification
COBS14.0	Phoenix Life Limited	110418	06/04/2015	31/10/2016	Modification
COBS13.0	Phoenix Wealth Services Limited	465753	06/04/2015	31/10/2016	Modification
COBS14.0	Phoenix Wealth Services Limited	465753	06/04/2015	31/10/2016	Modification
COBS13.0	Phoenix Wealth Services Limited	465753	19/12/2016	05/04/2017	
COBS14.0	Phoenix Wealth Services Limited	465753	19/12/2016	05/04/2017	
COBS13.0	PSFM SIPP Limited	189480	12/05/2015	31/10/2016	Modification
COBS14.0	PSFM SIPP Limited	189480	12/05/2015	31/10/2016	Modification
COBS13.0	ReAssure Limited	110495	06/04/2015	31/10/2016	Modification
COBS13.0	ReAssure Limited	110495	01/11/2016	05/04/2017	Modification
COBS14.0	ReAssure Limited	110495	01/11/2016	05/04/2017	Modification

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COBS13.0	Redswan Limited	410550	06/04/2015	31/10/2016	
COBS14.0	Redswan Limited	410550	06/04/2015	31/10/2016	
COBS13.0	Rowanmoor Personal Pensions Limited	458260	06/04/2015	31/10/2016	Modification
COBS14.0	Rowanmoor Personal Pensions Limited	458260	06/04/2015	31/10/2016	Modification
COBS13.0	Sanlam Financial Services UK Limited	472783	01/11/2016	05/04/2017	Modification
COBS14.0	Sanlam Financial Services UK Limited	472783	01/11/2016	05/04/2017	Modification
COBS13.0	Sanlam Financial Services UK Limited	472783	06/04/2015	31/10/2016	Modification
COBS14.0	Sanlam Financial Services UK Limited	472783	06/04/2015	31/10/2016	Modification
COBS13.0	Sanlam Life & Pensions UK Limited	110397	06/04/2015	31/10/2016	Modification
COBS14.0	Sanlam Life & Pensions UK Limited	110397	06/04/2015	31/10/2016	Modification
COBS13.0	Sanlam Life & Pensions UK Limited	110397	01/11/2016	05/04/2017	Modification
COBS14.0	Sanlam Life & Pensions UK Limited	110397	01/11/2016	05/04/2017	Modification
COBS13.0	Sippchoice Limited	496250	06/04/2015	31/10/2016	Waiver
COBS14.0	Sippchoice Limited	496250	06/04/2015	31/10/2016	Waiver
COBS13.0	SOVEREIGN PENSION SERVICES (UK) LIMITED	458576	06/04/2015	31/10/2016	Modification
COBS14.0	SOVEREIGN PENSION SERVICES (UK) LIMITED	458576	06/04/2015	31/10/2016	Modification
COBS13.0	St. James's Place Wealth Management Plc	195351	01/11/2016	05/04/2017	Modification
COBS14.0	St. James's Place Wealth Management Plc	195351	01/11/2016	05/04/2017	Modification
COBS13.0	Standard Life Assurance Limited	439567	06/04/2015	31/10/2016	Modification
COBS14.0	Standard Life Assurance Limited	439567	06/04/2015	31/10/2016	Modification
COBS13.0	Sterling ISA Managers Limited	191278	06/04/2015	31/10/2016	Modification
COBS14.0	Sterling ISA Managers Limited	191278	06/04/2015	31/10/2016	Modification
COBS13.0	Sterling ISA Managers Limited	191278	17/11/2016	05/04/2017	
COBS14.0	Sterling ISA Managers Limited	191278	17/11/2016	05/04/2017	
COBS13.0	Suffolk Life Annuities Limited	110468	06/04/2015	31/10/2016	Modification
COBS14.0	Suffolk Life Annuities Limited	110468	06/04/2015	31/10/2016	Modification
COBS13.0	Suffolk Life Annuities Limited	110468	01/11/2016	05/04/2017	Modification
COBS14.0	Suffolk Life Annuities Limited	110468	01/11/2016	05/04/2017	Modification
COBS13.0	Suffolk Life Pensions Limited	116298	01/11/2016	05/04/2017	Modification
COBS14.0	Suffolk Life Pensions Limited	116298	01/11/2016	05/04/2017	Modification

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COBS13.0	Suffolk Life Pensions Limited	116298	06/04/2015	31/10/2016	Modification
COBS14.0	Suffolk Life Pensions Limited	116298	06/04/2015	31/10/2016	Modification
COBS13.0	Sun Life Assurance Company of Canada (U.K.) Limited	110481	06/04/2015	31/10/2016	Modification
COBS14.0	Sun Life Assurance Company of Canada (U.K.) Limited	110481	06/04/2015	31/10/2016	Modification
COBS13.0	Talbot and Muir SIPP LLP	462015	06/04/2015	31/10/2016	Modification
COBS14.0	Talbot and Muir SIPP LLP	462015	06/04/2015	31/10/2016	Modification
COBS13.0	Talbot and Muir SIPP LLP	462015	19/12/2016	05/04/2017	Modification
COBS14.0	Talbot and Muir SIPP LLP	462015	19/12/2016	05/04/2017	Modification
COBS13.0	The Equitable Life Assurance Society	110340	12/07/2016	05/04/2017	Modification
COBS14.0	The Equitable Life Assurance Society	110340	12/07/2016	05/04/2017	Modification
COBS13.0	The Equitable Life Assurance Society	110340	06/04/2015	31/10/2016	Modification
COBS14.0	The Equitable Life Assurance Society	110340	06/04/2015	31/10/2016	Modification
COBS13.0	The Lifetime Sipp Company Ltd	464526	06/04/2015	31/10/2016	Modification
COBS14.0	The Lifetime Sipp Company Ltd	464526	06/04/2015	31/10/2016	Modification
COBS13.0	The Pensions Partnership LLP	542308	06/04/2015	31/10/2016	Modification
COBS14.0	The Pensions Partnership LLP	542308	06/04/2015	31/10/2016	Modification
COBS13.0	The Pensions Partnership Ltd	723284	01/11/2016	05/04/2017	Modification
COBS14.0	The Pensions Partnership Ltd	723284	01/11/2016	05/04/2017	Modification
COBS13.0	The Prudential Assurance Company Limited	139793	02/04/2015	31/10/2016	Modification
COBS14.0	The Prudential Assurance Company Limited	139793	02/04/2015	31/10/2016	Modification
COBS13.0	The Prudential Assurance Company Limited	139793	27/07/2016	05/04/2017	Modification
COBS14.0	The Prudential Assurance Company Limited	139793	27/07/2016	05/04/2017	Modification
COBS13.0	Towry Pension Trustees Limited	465128	06/04/2015	31/10/2016	Modification
COBS14.0	Towry Pension Trustees Limited	465128	06/04/2015	31/10/2016	Modification
COBS13.0	True Potential Investments LLP	527444	06/04/2015	31/10/2016	Modification
COBS14.0	True Potential Investments LLP	527444	06/04/2015	31/10/2016	Modification
COBS13.0	UPTTEL Limited	462090	06/04/2015	31/10/2016	Modification
COBS14.0	UPTTEL Limited	462090	06/04/2015	31/10/2016	Modification
COBS13.0	Wealthtime Limited	468461	06/04/2015	31/10/2016	Modification
COBS14.0	Wealthtime Limited	468461	06/04/2015	31/10/2016	Modification



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COBS13.0	Wealthtime Limited	468461	01/11/2016	05/04/2017	
COBS14.0	Wealthtime Limited	468461	01/11/2016	05/04/2017	
COBS13.0	Wesleyan Assurance Society	110873	09/09/2016	05/04/2017	
COBS14.0	Wesleyan Assurance Society	110873	09/09/2016	05/04/2017	
COBS13.0	Wesleyan Assurance Society	110873	06/04/2015	31/10/2016	Modification
COBS14.0	Wesleyan Assurance Society	110873	06/04/2015	31/10/2016	Modification
COBS13.0	Whitefoord LLP	517235	06/04/2015	31/10/2016	Modification
COBS14.0	Whitefoord LLP	517235	06/04/2015	31/10/2016	Modification
COBS13.0	Xafinity SIPP Services Limited	461791	06/04/2015	31/10/2016	Modification
COBS14.0	Xafinity SIPP Services Limited	461791	06/04/2015	31/10/2016	Modification
COBS13.0	Zurich Assurance Ltd	147672	06/04/2015	31/10/2016	Modification
COBS14.0	Zurich Assurance Ltd	147672	06/04/2015	31/10/2016	Modification
COBS6.1	First Command Europe Ltd	482323	31/12/2012	25/09/2015	Modification
COBS8.1.2	Hargreaves Lansdown Stockbrokers Limited	149970	13/10/2015	17/10/2018	Modification
COBS21.1.2	Old Mutual Wealth Life Assurance Limited	110462	18/10/2012	17/10/2013	Modification
COBS21.1.2	Old Mutual Wealth Life Assurance Limited	110462	24/10/2013	23/04/2014	Modification
COBS21.1.2	Old Mutual Wealth Life Assurance Limited	110462	28/02/2010	31/10/2012	Modification
COBS8.1.2 (R)	Hargreaves Lansdown Asset Management Limited	115248	12/10/2017	11/10/2020	Modification
COBS13.1.3	EdenTree Investment Management Limited	527473	15/05/2014	30/06/2016	Modification
COBS13.1.3	Aberdeen Fund Managers Limited	121803	22/03/2012	30/06/2014	Modification
COBS13.1.3	Aberdeen Fund Managers Limited	121803	28/03/2014	30/06/2016	Modification
COBS13.1.3	Alpha Real Capital LLP	436048	16/04/2014	30/06/2016	Modification
COBS13.1.3	Alpha Real Capital LLP	436048	11/11/2013	20/06/2014	Modification
COBS13.1.3	Architas Multi-Manager Limited	477328	16/04/2014	30/06/2016	Modification
COBS13.1.3	Architas Multi-Manager Limited	477328	25/11/2011	30/06/2014	Modification
COBS13.1.3	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS13.1.3	AXA Investment Managers UK Ltd	119368	08/04/2014	30/06/2016	Modification
COBS13.1.3	Baillie Gifford & Co Limited	119179	17/02/2012	30/06/2014	Modification
COBS13.1.3	Baillie Gifford & Co Limited	119179	29/04/2014	30/06/2016	Modification
COBS13.1.3	Barclays Asset Management Limited	505543	30/06/2014	30/06/2016	Modification

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COBS13.1.3	BARINGS MULTI ASSET INVESTMENT FUNDS	494309	11/11/2011	30/06/2014	Modification
COBS13.1.3	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS13.1.3	BMO Fund Management Limited	121940	15/06/2012	30/06/2014	Modification
COBS13.1.3	Carvetian Capital Management Limited	530809	17/02/2012	30/06/2014	Modification
COBS13.1.3	City Financial Investment Company Limited	189302	09/07/2012	30/06/2014	Modification
COBS13.1.3	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS13.1.3	FIL Investment Services (UK) Limited	121939	31/01/2012	30/06/2014	Modification
COBS13.1.3	FIL Investment Services (UK) Limited	121939	08/04/2014	30/06/2016	Modification
COBS13.1.3	Fundrock Partners Limited	469278	22/08/2012	30/06/2014	Modification
COBS13.1.3	Fundrock Partners Limited	469278	23/06/2014	30/06/2016	Modification
COBS13.1.3	HBOS Investment Fund Managers Limited	119223	21/05/2014	30/06/2016	Modification
COBS13.1.3	HBOS Investment Fund Managers Limited	119223	30/05/2012	30/06/2014	Modification
COBS13.1.3	Henderson Investment Funds Limited	121859	25/06/2012	30/06/2014	Modification
COBS13.1.3	HSBC Global Asset Management (UK) Limited	122335	31/05/2012	30/06/2014	Modification
COBS13.1.3	Ignis Fund Managers Limited	122188	05/04/2012	30/06/2014	Modification
COBS13.1.3	Ignis Fund Managers Limited	122188	07/11/2014	30/06/2016	Modification
COBS13.1.3	Insight Investment Funds Management Ltd	122259	09/03/2012	30/06/2014	Modification
COBS13.1.3	Investment Fund Services Ltd	464193	28/08/2012	30/06/2014	Modification
COBS13.1.3	Investment Fund Services Ltd	464193	07/05/2014	30/06/2016	Modification
COBS13.1.3	JPMorgan Funds Limited	119346	17/04/2014	30/06/2016	Modification
COBS13.1.3	JPMorgan Funds Limited	119346	06/03/2012	30/06/2014	Modification
COBS13.1.3	Jupiter Unit Trust Managers Limited	122488	13/02/2013	30/06/2014	Modification
COBS13.1.3	Jupiter Unit Trust Managers Limited	122488	28/03/2014	30/06/2016	Modification
COBS13.1.3	Jupiter Unit Trust Managers Limited	122488	01/07/2016	31/12/2018	Modification
COBS13.1.3	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS13.1.3	Legal & General (Unit Trust Managers) Limited	119273	02/03/2012	30/06/2014	Modification
COBS13.1.3	Link Fund Solutions Limited	119197	30/05/2012	30/06/2014	Modification
COBS13.1.3	Liontrust Fund Partners LLP	518165	17/04/2014	30/06/2016	Modification
COBS13.1.3	M & G Securities Limited	122057	01/05/2014	30/06/2016	Modification
COBS13.1.3	M & G Securities Limited	122057	06/12/2011	30/06/2014	Modification

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COBS13.1.3	Maitland Institutional Services Ltd	469627	17/04/2014	30/06/2016	Modification
COBS13.1.3	Man Managed Funds ICVC	465345	08/02/2012	30/06/2014	Modification
COBS13.1.3	Margetts Fund Management Limited	208565	11/01/2013	30/06/2014	Modification
COBS13.1.3	Margetts Fund Management Limited	208565	01/07/2016	31/12/2018	Modification
COBS13.1.3	Margetts Fund Management Limited	208565	16/04/2014	30/06/2016	Modification
COBS13.1.3	Marlborough Fund Managers Ltd	141660	27/03/2012	30/06/2014	Modification
COBS13.1.3	Marlborough Fund Managers Ltd	141660	30/06/2014	30/06/2016	Modification
COBS13.1.3	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS13.1.3	N.F.U. Mutual Unit Managers Limited	121922	04/07/2012	30/06/2014	Modification
COBS13.1.3	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS13.1.3	Partners Group (UK) Ltd	401307	01/09/2015	30/06/2016	Modification
COBS13.1.3	Premier Portfolio Managers Limited	122067	18/05/2012	30/06/2014	Modification
COBS13.1.3	Premier Portfolio Managers Limited	122067	30/06/2014	30/06/2016	Modification
COBS13.1.3	Prudential Unit Trusts Limited	122008	01/05/2014	30/06/2016	Modification
COBS13.1.3	Prudential Unit Trusts Limited	122008	06/12/2011	30/06/2014	Modification
COBS13.1.3	Quilter Investors Limited	208543	09/04/2014	30/06/2016	Modification
COBS13.1.3	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification
COBS13.1.3	Rathbone Unit Trust Management Limited	144266	17/02/2012	30/06/2014	Modification
COBS13.1.3	Rathbone Unit Trust Management Limited	144266	28/05/2014	30/06/2016	Waiver
COBS13.1.3	RBS Investment Options ICVC	476834	01/07/2016	31/12/2018	Waiver
COBS13.1.3	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
COBS13.1.3	RBS Investment Options ICVC	476834	21/03/2012	30/06/2014	Modification
COBS13.1.3	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS13.1.3	Sand Aire Limited	177030	26/01/2015	30/06/2016	Modification
COBS13.1.3	Santander Asset Management UK Limited	122491	05/02/2014	30/06/2014	Modification
COBS13.1.3	Santander Asset Management UK Limited	122491	08/04/2014	30/06/2014	Modification
COBS13.1.3	Sarasin Investment Funds Limited	122244	23/04/2014	30/06/2016	Modification
COBS13.1.3	Sarasin Investment Funds Limited	122244	31/01/2012	30/06/2014	Modification
COBS13.1.3	Schroder Unit Trusts Limited	197288	22/09/2011	30/06/2014	Modification
COBS13.1.3	Schroder Unit Trusts Limited	197288	12/05/2014	30/06/2016	Modification

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COBS13.1.3	Scottish Widows Unit Trust Managers Limited	122129	30/05/2012	30/06/2014	Modification
COBS13.1.3	Scottish Widows Unit Trust Managers Limited	122129	21/05/2014	30/06/2016	Modification
COBS13.1.3	Seven Investment Management LLP	589124	03/11/2014	30/06/2016	Modification
COBS13.1.3	Smith & Williamson Fund Administration Limited	122401	09/04/2014	30/06/2016	Modification
COBS13.1.3	Smith & Williamson Fund Administration Limited	122401	06/01/2014	30/06/2014	Modification
COBS13.1.3	SMT FUND SERVICES (UK) LIMITED	506492	12/06/2012	30/06/2012	Modification
COBS13.1.3	St. James's Place Unit Trust Group Limited	122472	12/01/2012	30/06/2014	Modification
COBS13.1.3	St. James's Place Unit Trust Group Limited	122472	16/04/2014	30/06/2016	Modification
COBS13.1.3	Standard Life Investments (Mutual Funds) Limited	146477	29/08/2012	30/06/2014	Modification
COBS13.1.3	Stonehage Fleming Investment Management Limited	194382	12/05/2014	30/06/2016	Modification
COBS13.1.3	T. Bailey Fund Services Limited	190293	15/05/2014	30/06/2016	Modification
COBS13.1.3	THESIS Unit Trust Management Limited	186882	15/07/2011	30/06/2014	Modification
COBS13.1.3	Threadneedle Investment Services Limited	190437	12/05/2014	30/06/2016	Modification
COBS13.1.3	True Potential Investments LLP	527444	16/05/2014	30/06/2016	Modification
COBS13.1.3	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS13.1.3	Vanguard Investments UK, Ltd	494699	08/12/2011	30/06/2014	Modification
COBS13.1.3	WAY Fund Managers Limited	194147	20/06/2014	30/06/2016	Modification
COBS13.1.3	Zurich Investment Services (UK) Limited	628981	25/02/2015	30/06/2016	Modification
COBS13.1.3 (2)	Host Capital Limited	429093	15/10/2012	30/06/2014	Modification
COBS13.1.3 (2)	Kames Capital plc	144267	21/02/2014	30/06/2014	Modification
COBS13.1.3 (2)	Threadneedle Investment Services Limited	190437	19/04/2012	30/06/2014	Modification
COBS13.1.3 (R)	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2018	Modification
COBS13.1.3 (R)	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2018	Modification
COBS13.1.3 (R)	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2018	Modification
COBS13.1.3 (R)	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2018	Modification
COBS13.1.3 (R)	Man Fund Management UK Limited	185916	01/07/2016	31/12/2018	Modification
COBS13.1.3 (R)	MT Capital Management Limited	623887	01/07/2016	31/12/2018	Modification
COBS13.1.3 (R)	Novitas Loans Ltd	716962	01/07/2016	14/06/2018	Modification
COBS13.1.3 (R)	Sarasin Investment Funds Limited	122244	11/10/2016	31/12/2018	Modification
COBS13.1.3 (R)	Schroder Unit Trusts Limited	197288	01/07/2016	31/12/2018	Modification

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COBS13.1.3 (R)	Tutman LLP	612721	01/07/2016	31/12/2018	Modification
COBS13.1.13R	BMO Fund Management Limited	121940	01/07/2016	31/12/2018	Modification
COBS8.1.2R	Hargreaves Lansdown Asset Management Limited	115248	05/07/2016	04/07/2019	Modification
COBS8.1.2R	Hargreaves Lansdown Asset Management Limited	115248	27/11/2015	26/11/2018	Modification
COBS8.1.2R	Hargreaves Lansdown Asset Management Limited	115248	13/10/2015	17/10/2018	Modification
COBS8.1.2R	Hargreaves Lansdown Stockbrokers Limited	149970	05/07/2016	04/07/2019	Modification
COBS13.1.3R	EdenTree Investment Management Limited	527473	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Aberdeen Fund Managers Limited	121803	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Alpha Real Capital LLP	436048	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Aviva Investors UK Fund Services Limited	119310	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Baillie Gifford & Co	142597	25/04/2014	30/06/2016	Modification
COBS13.1.3R	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Baring Fund Managers Limited	119187	01/07/2016	31/12/2018	Modification
COBS13.1.3R	BNY Mellon Fund Managers Limited	122007	04/07/2016	31/12/2018	Modification
COBS13.1.3R	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Close Asset Management (UK) Limited	175827	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Courtiers Asset Management Limited	616322	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS13.1.3R	Friends Life Funds Limited	629488	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Fundrock Partners Limited	469278	01/07/2016	31/12/2018	Modification
COBS13.1.3R	HBOS Investment Fund Managers Limited	119223	16/06/2016	31/12/2016	Modification
COBS13.1.3R	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Host Capital Limited	429093	01/07/2016	31/12/2018	Modification
COBS13.1.3R	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS13.1.3R	HSBC Investment Funds of Funds	407802	30/06/2014	30/06/2016	Modification
COBS13.1.3R	HSBC Openfunds	457011	30/06/2014	30/06/2016	Modification
COBS13.1.3R	Investment Fund Services Ltd	464193	01/07/2016	31/12/2018	Modification
COBS13.1.3R	JPMorgan Funds Limited	119346	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Kames Capital plc	144267	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification

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COBS13.1.3R	Link Fund Solutions Limited	119197	01/07/2016	31/12/2018	Modification
COBS13.1.3R	M & G Securities Limited	122057	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Maitland Institutional Services Ltd	469627	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Man Managed Funds ICVC	465345	30/06/2014	30/06/2016	Modification
COBS13.1.3R	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Partners Group (UK) Ltd	401307	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Quilter Investors Limited	208543	01/07/2016	31/12/2018	Modification
COBS13.1.3R	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS13.1.3R	Royal London Unit Trust Managers Limited	144037	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Sarasin Investment Funds Limited	122244	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Scottish Widows Unit Trust Managers Limited	122129	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2017	Modification
COBS13.1.3R	St. James's Place Unit Trust Group Limited	122472	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Standard Life Investments (Mutual Funds) Limited	146477	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Stonehage Fleming Investment Management Limited	194382	01/07/2016	31/12/2018	Modification
COBS13.1.3R	THESIS Unit Trust Management Limited	186882	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Threadneedle Investment Services Limited	190437	01/07/2016	31/12/2018	Modification
COBS13.1.3R	Zurich Investment Services (UK) Limited	628981	01/07/2016	31/12/2018	Modification
COBS13.1.3R (2)	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS13.1.3R (2)	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS6.1.A (4)	First Command Europe Ltd	482323	23/09/2015	22/09/2020	Modification
COBS14.2.1	EdenTree Investment Management Limited	527473	15/05/2014	30/06/2016	Modification
COBS14.2.1	Aberdeen Fund Managers Limited	121803	22/03/2012	30/06/2014	Modification
COBS14.2.1	Aberdeen Fund Managers Limited	121803	28/03/2014	30/06/2016	Modification
COBS14.2.1	Aberdeen Fund Managers Limited	121803	01/07/2016	31/12/2018	Modification
COBS14.2.1	Alpha Real Capital LLP	436048	16/04/2014	30/06/2016	Modification
COBS14.2.1	Alpha Real Capital LLP	436048	11/11/2013	20/06/2014	Modification
COBS14.2.1	Architas Multi-Manager Limited	477328	16/04/2014	30/06/2016	Modification
COBS14.2.1	Architas Multi-Manager Limited	477328	25/11/2011	30/06/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS14.2.1	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS14.2.1	AXA Investment Managers UK Ltd	119368	08/04/2014	30/06/2016	Modification
COBS14.2.1	Baillie Gifford & Co Limited	119179	17/02/2012	30/06/2014	Modification
COBS14.2.1	Baillie Gifford & Co Limited	119179	29/04/2014	30/06/2016	Modification
COBS14.2.1	Barclays Asset Management Limited	505543	30/06/2014	30/06/2016	Modification
COBS14.2.1	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS14.2.1	BMO Fund Management Limited	121940	15/06/2012	30/06/2014	Modification
COBS14.2.1	Capita Life & Pensions Regulated Services Limited	145540	01/11/2016	05/04/2017	Modification
COBS14.2.1	Carvetian Capital Management Limited	530809	17/02/2012	30/06/2014	Modification
COBS14.2.1	City Financial Investment Company Limited	189302	09/07/2012	30/06/2014	Modification
COBS14.2.1	Dentons Pension Management Limited	461094	06/04/2015	31/10/2016	Modification
COBS14.2.1	FIL Investment Services (UK) Limited	121939	31/01/2012	30/06/2014	Modification
COBS14.2.1	FIL Investment Services (UK) Limited	121939	08/04/2014	30/06/2016	Modification
COBS14.2.1	Fundrock Partners Limited	469278	22/08/2012	30/06/2014	Modification
COBS14.2.1	Fundrock Partners Limited	469278	23/06/2014	30/06/2016	Modification
COBS14.2.1	HBOS Investment Fund Managers Limited	119223	21/05/2014	30/06/2016	Modification
COBS14.2.1	HBOS Investment Fund Managers Limited	119223	30/05/2012	30/06/2014	Modification
COBS14.2.1	Henderson Investment Funds Limited	121859	25/06/2012	30/06/2014	Modification
COBS14.2.1	Heritage Pensions Limited	475096	19/12/2016	05/04/2017	Modification
COBS14.2.1	Host Capital Limited	429093	15/10/2012	30/06/2014	Modification
COBS14.2.1	HSBC Global Asset Management (UK) Limited	122335	31/05/2012	30/06/2014	Modification
COBS14.2.1	Ignis Fund Managers Limited	122188	05/04/2012	30/06/2014	Modification
COBS14.2.1	Ignis Fund Managers Limited	122188	07/11/2014	30/06/2016	Modification
COBS14.2.1	Insight Investment Funds Management Ltd	122259	09/03/2012	30/06/2014	Modification
COBS14.2.1	Investec Wealth & Investment Limited	124537	19/12/2016	05/04/2017	Modification
COBS14.2.1	Investment Fund Services Ltd	464193	28/08/2012	30/06/2014	Modification
COBS14.2.1	Investment Fund Services Ltd	464193	07/05/2014	30/06/2016	Modification
COBS14.2.1	JPMorgan Funds Limited	119346	17/04/2014	30/06/2016	Modification
COBS14.2.1	JPMorgan Funds Limited	119346	06/03/2012	30/06/2014	Modification
COBS14.2.1	Jupiter Unit Trust Managers Limited	122488	13/02/2013	30/06/2014	Modification

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COBS14.2.1	Jupiter Unit Trust Managers Limited	122488	28/03/2014	30/06/2016	Modification
COBS14.2.1	Just Retirement Limited	232595	14/10/2016	05/04/2017	Modification
COBS14.2.1	Kames Capital plc	144267	21/02/2014	30/06/2014	Modification
COBS14.2.1	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS14.2.1	Legal & General (Unit Trust Managers) Limited	119273	02/03/2012	30/06/2014	Modification
COBS14.2.1	Link Fund Solutions Limited	119197	30/05/2012	30/06/2014	Modification
COBS14.2.1	Liontrust Fund Partners LLP	518165	17/04/2014	30/06/2016	Modification
COBS14.2.1	M & G Securities Limited	122057	01/05/2014	30/06/2016	Modification
COBS14.2.1	M & G Securities Limited	122057	06/12/2011	30/06/2014	Modification
COBS14.2.1	Maitland Institutional Services Ltd	469627	17/04/2014	30/06/2016	Modification
COBS14.2.1	Man Managed Funds ICVC	465345	08/02/2012	30/06/2014	Modification
COBS14.2.1	Margetts Fund Management Limited	208565	11/01/2013	30/06/2014	Modification
COBS14.2.1	Marlborough Fund Managers Ltd	141660	27/03/2012	30/06/2014	Modification
COBS14.2.1	Marlborough Fund Managers Ltd	141660	30/06/2014	30/06/2016	Modification
COBS14.2.1	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.2.1	N.F.U. Mutual Unit Managers Limited	121922	04/07/2012	30/06/2014	Modification
COBS14.2.1	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS14.2.1	Partners Group (UK) Ltd	401307	01/09/2015	30/06/2016	Modification
COBS14.2.1	Premier Portfolio Managers Limited	122067	18/05/2012	30/06/2014	Modification
COBS14.2.1	Premier Portfolio Managers Limited	122067	30/06/2014	30/06/2016	Modification
COBS14.2.1	Prudential Unit Trusts Limited	122008	01/05/2014	30/06/2016	Modification
COBS14.2.1	Prudential Unit Trusts Limited	122008	06/12/2011	30/06/2014	Modification
COBS14.2.1	Quilter Investors Limited	208543	09/04/2014	30/06/2016	Modification
COBS14.2.1	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification
COBS14.2.1	Rathbone Unit Trust Management Limited	144266	17/02/2012	30/06/2014	Modification
COBS14.2.1	Rathbone Unit Trust Management Limited	144266	28/05/2014	30/06/2016	Waiver
COBS14.2.1	RBS Investment Options ICVC	476834	01/07/2016	31/12/2018	Waiver
COBS14.2.1	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
COBS14.2.1	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS14.2.1	Sand Aire Limited	177030	26/01/2015	30/06/2016	Modification



Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS14.2.1	Santander Asset Management UK Limited	122491	08/04/2014	30/06/2014	Modification
COBS14.2.1	Sarasin Investment Funds Limited	122244	23/04/2014	30/06/2016	Modification
COBS14.2.1	Sarasin Investment Funds Limited	122244	31/01/2012	30/06/2014	Modification
COBS14.2.1	Schroder Unit Trusts Limited	197288	22/09/2011	30/06/2014	Modification
COBS14.2.1	Schroder Unit Trusts Limited	197288	12/05/2014	30/06/2016	Modification
COBS14.2.1	Scottish Widows Unit Trust Managers Limited	122129	30/05/2012	30/06/2014	Modification
COBS14.2.1	Scottish Widows Unit Trust Managers Limited	122129	21/05/2014	30/06/2016	Modification
COBS14.2.1	Seven Investment Management LLP	589124	03/11/2014	30/06/2016	Modification
COBS14.2.1	Smith & Williamson Fund Administration Limited	122401	09/04/2014	30/06/2016	Modification
COBS14.2.1	Smith & Williamson Fund Administration Limited	122401	06/01/2014	30/06/2014	Modification
COBS14.2.1	SMT FUND SERVICES (UK) LIMITED	506492	12/06/2012	30/06/2012	Modification
COBS14.2.1	St. James's Place Unit Trust Group Limited	122472	16/04/2014	30/06/2016	Modification
COBS14.2.1	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS14.2.1	Standard Life Investments (Mutual Funds) Limited	146477	01/07/2016	31/12/2018	Modification
COBS14.2.1	Standard Life Investments (Mutual Funds) Limited	146477	29/08/2012	30/06/2014	Modification
COBS14.2.1	Stonehage Fleming Investment Management Limited	194382	12/05/2014	30/06/2016	Modification
COBS14.2.1	T. Bailey Fund Services Limited	190293	15/05/2014	30/06/2016	Modification
COBS14.2.1	Taylor Patterson Associates Limited	114619	06/04/2015	31/10/2016	Modification
COBS14.2.1	The National Farmers' Union Mutual Insurance Society Limited	117664	06/04/2015	31/10/2016	Modification
COBS14.2.1	THESIS Unit Trust Management Limited	186882	15/07/2011	30/06/2014	Modification
COBS14.2.1	Threadneedle Investment Services Limited	190437	01/07/2016	31/12/2018	Modification
COBS14.2.1	Threadneedle Investment Services Limited	190437	19/04/2012	30/06/2014	Modification
COBS14.2.1	Threadneedle Investment Services Limited	190437	12/05/2014	30/06/2016	Modification
COBS14.2.1	True Potential Investments LLP	527444	16/05/2014	30/06/2016	Modification
COBS12.2.1	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS14.2.1	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS14.2.1	Vanguard Investments UK, Ltd	494699	08/12/2011	30/06/2014	Modification
COBS14.2.1	WAY Fund Managers Limited	194147	20/06/2014	30/06/2016	Modification
COBS14.2.1	Zurich Assurance Ltd	147672	16/11/2016	05/04/2017	Modification
COBS14.2.1	Zurich Investment Services (UK) Limited	628981	25/02/2015	30/06/2016	Modification

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COBS14.2.1 (1)	HSBC Life (UK) Limited	133435	28/08/2015	01/09/2015	Waiver
COBS14.2.1 (A)	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.2.1 (AR)	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2018	Modification
COBS14.2.1 (AR)	Aviva Investors UK Fund Services Limited	119310	01/07/2016	31/12/2018	Modification
COBS14.2.1 (AR)	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2018	Modification
COBS14.2.1 (AR)	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2018	Modification
COBS14.2.1 (AR)	Man Fund Management UK Limited	185916	01/07/2016	31/12/2018	Modification
COBS14.2.1 (AR)	Margetts Fund Management Limited	208565	01/07/2016	31/12/2018	Modification
COBS12.2.1 (AR)	THESIS Unit Trust Management Limited	186882	01/07/2016	31/12/2018	Modification
COBS14.2.1 (AR)	Tutman LLP	612721	01/07/2016	31/12/2018	Modification
COBS14.2.1 (R)	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2018	Modification
COBS14.2.1 (R)	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.2.1 (R)	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.2.1 (R)	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2018	Modification
COBS14.2.1 (R)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.2.1 (R)	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2018	Modification
COBS14.2.1 (R)	Man Fund Management UK Limited	185916	01/07/2016	31/12/2018	Modification
COBS14.2.1 (R)	Margetts Fund Management Limited	208565	01/07/2016	31/12/2018	Modification
COBS14.2.1 (R)	MT Capital Management Limited	623887	01/07/2016	31/12/2018	Modification
COBS14.2.1 (R)	Novitas Loans Ltd	716962	01/07/2016	14/06/2018	Modification
COBS14.2.1 (R)	Sarasin Investment Funds Limited	122244	11/10/2016	31/12/2018	Modification
COBS14.2.1 (R)	Schroder Unit Trusts Limited	197288	01/07/2016	31/12/2018	Modification
COBS14.2.1 (R)	Tutman LLP	612721	01/07/2016	31/12/2018	Modification
COBS20.2.5	Phoenix Life Limited	110418	13/03/2013	12/03/2016	Modification
COBS20.2.5	Phoenix Life Limited	110418	15/02/2011	31/01/2013	Modification
COBS20.2.5	Phoenix Life Limited	110418	29/12/2010	31/01/2013	Modification
COBS14.2.7	EdenTree Investment Management Limited	527473	15/05/2014	30/06/2016	Modification
COBS14.2.7	Aberdeen Fund Managers Limited	121803	22/03/2012	30/06/2014	Modification
COBS14.2.7	Aberdeen Fund Managers Limited	121803	28/03/2014	30/06/2016	Modification
COBS14.2.7	Aberdeen Fund Managers Limited	121803	01/07/2016	31/12/2018	Modification

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COBS14.2.7	Alpha Real Capital LLP	436048	16/04/2014	30/06/2016	Modification
COBS14.2.7	Alpha Real Capital LLP	436048	11/11/2013	20/06/2014	Modification
COBS14.2.7	Architas Multi-Manager Limited	477328	16/04/2014	30/06/2016	Modification
COBS14.2.7	Architas Multi-Manager Limited	477328	25/11/2011	30/06/2014	Modification
COBS14.2.7	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS14.2.7	AXA Investment Managers UK Ltd	119368	08/04/2014	30/06/2016	Modification
COBS14.2.7	Baillie Gifford & Co Limited	119179	17/02/2012	30/06/2014	Modification
COBS14.2.7	Baillie Gifford & Co Limited	119179	29/04/2014	30/06/2016	Modification
COBS14.2.7	Barclays Asset Management Limited	505543	30/06/2014	30/06/2016	Modification
COBS14.2.7	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS14.2.7	BMO Fund Management Limited	121940	15/06/2012	30/06/2014	Modification
COBS14.2.7	Carvetian Capital Management Limited	530809	17/02/2012	30/06/2014	Modification
COBS14.2.7	City Financial Investment Company Limited	189302	09/07/2012	30/06/2014	Modification
COBS14.2.7	FIL Investment Services (UK) Limited	121939	31/01/2012	30/06/2014	Modification
COBS14.2.7	FIL Investment Services (UK) Limited	121939	08/04/2014	30/06/2016	Modification
COBS14.2.7	Fundrock Partners Limited	469278	22/08/2012	30/06/2014	Modification
COBS14.2.7	Fundrock Partners Limited	469278	23/06/2014	30/06/2016	Modification
COBS14.2.7	HBOS Investment Fund Managers Limited	119223	21/05/2014	30/06/2016	Modification
COBS14.2.7	HBOS Investment Fund Managers Limited	119223	30/05/2012	30/06/2014	Modification
COBS14.2.7	Henderson Investment Funds Limited	121859	25/06/2012	30/06/2014	Modification
COBS14.2.7	Host Capital Limited	429093	15/10/2012	30/06/2014	Modification
COBS14.2.7	HSBC Global Asset Management (UK) Limited	122335	31/05/2012	30/06/2014	Modification
COBS14.2.7	Ignis Fund Managers Limited	122188	05/04/2012	30/06/2014	Modification
COBS14.2.7	Ignis Fund Managers Limited	122188	07/11/2014	30/06/2016	Modification
COBS14.2.7	Insight Investment Funds Management Ltd	122259	09/03/2012	30/06/2014	Modification
COBS14.2.7	Investment Fund Services Ltd	464193	07/05/2014	30/06/2016	Modification
COBS14.2.7	JPMorgan Funds Limited	119346	17/04/2014	30/06/2016	Modification
COBS14.2.7	JPMorgan Funds Limited	119346	06/03/2012	30/06/2014	Modification
COBS14.2.7	Jupiter Unit Trust Managers Limited	122488	13/02/2013	30/06/2014	Modification
COBS14.2.7	Jupiter Unit Trust Managers Limited	122488	28/03/2014	30/06/2016	Modification

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COBS14.2.7	Kames Capital plc	144267	21/02/2014	30/06/2014	Modification
COBS14.2.7	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS14.2.7	Legal & General (Unit Trust Managers) Limited	119273	02/03/2012	30/06/2014	Modification
COBS14.2.7	Link Fund Solutions Limited	119197	30/05/2012	30/06/2014	Modification
COBS14.2.7	Liontrust Fund Partners LLP	518165	17/04/2014	30/06/2016	Modification
COBS14.2.7	M & G Securities Limited	122057	01/05/2014	30/06/2016	Modification
COBS14.2.7	M & G Securities Limited	122057	06/12/2011	30/06/2014	Modification
COBS14.2.7	Maitland Institutional Services Ltd	469627	17/04/2014	30/06/2016	Modification
COBS14.2.7	Man Managed Funds ICVC	465345	08/02/2012	30/06/2014	Modification
COBS14.2.7	Margetts Fund Management Limited	208565	11/01/2013	30/06/2014	Modification
COBS14.2.7	Marlborough Fund Managers Ltd	141660	27/03/2012	30/06/2014	Modification
COBS14.2.7	Marlborough Fund Managers Ltd	141660	30/06/2014	30/06/2016	Modification
COBS14.2.7	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.2.7	N.F.U. Mutual Unit Managers Limited	121922	04/07/2012	30/06/2014	Modification
COBS14.2.7	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS14.2.7	Premier Portfolio Managers Limited	122067	18/05/2012	30/06/2014	Modification
COBS14.2.7	Premier Portfolio Managers Limited	122067	30/06/2014	30/06/2016	Modification
COBS14.2.7	Prudential Unit Trusts Limited	122008	01/05/2014	30/06/2016	Modification
COBS14.2.7	Prudential Unit Trusts Limited	122008	06/12/2011	30/06/2014	Modification
COBS14.2.7	Quilter Investors Limited	208543	09/04/2014	30/06/2016	Modification
COBS14.2.7	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification
COBS14.2.7	Rathbone Unit Trust Management Limited	144266	17/02/2012	30/06/2014	Modification
COBS14.2.7	Rathbone Unit Trust Management Limited	144266	28/05/2014	30/06/2016	Waiver
COBS14.2.7	RBS Investment Options ICVC	476834	01/07/2016	31/12/2018	Waiver
COBS14.2.7	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
COBS14.2.7	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS14.2.7	Sand Aire Limited	177030	26/01/2015	30/06/2016	Modification
COBS14.2.7	Santander Asset Management UK Limited	122491	08/04/2014	30/06/2014	Modification
COBS14.2.7	Sarasin Investment Funds Limited	122244	31/01/2012	30/06/2014	Modification
COBS14.2.7	Schroder Unit Trusts Limited	197288	22/09/2011	30/06/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS14.2.7	Schroder Unit Trusts Limited	197288	12/05/2014	30/06/2016	Modification
COBS14.2.7	Scottish Widows Unit Trust Managers Limited	122129	30/05/2012	30/06/2014	Modification
COBS14.2.7	Scottish Widows Unit Trust Managers Limited	122129	21/05/2014	30/06/2016	Modification
COBS14.2.7	Seven Investment Management LLP	589124	03/11/2014	30/06/2016	Modification
COBS14.2.7	Smith & Williamson Fund Administration Limited	122401	09/04/2014	30/06/2016	Modification
COBS14.2.7	Smith & Williamson Fund Administration Limited	122401	06/01/2014	30/06/2014	Modification
COBS14.2.7	SMT FUND SERVICES (UK) LIMITED	506492	12/06/2012	30/06/2012	Modification
COBS14.2.7	St. James's Place Unit Trust Group Limited	122472	16/04/2014	30/06/2016	Modification
COBS14.2.7	Standard Life Assurance Limited	439567	17/03/2014	30/06/2016	Modification
COBS14.2.7	Standard Life Investments (Mutual Funds) Limited	146477	01/07/2016	31/12/2018	Modification
COBS14.2.7	Standard Life Investments (Mutual Funds) Limited	146477	29/08/2012	30/06/2014	Modification
COBS14.2.7	Stonehage Fleming Investment Management Limited	194382	12/05/2014	30/06/2016	Modification
COBS14.2.7	T. Bailey Fund Services Limited	190293	15/05/2014	30/06/2016	Modification
COBS14.2.7	THESIS Unit Trust Management Limited	186882	15/07/2011	30/06/2014	Modification
COBS14.2.7	Threadneedle Investment Services Limited	190437	01/07/2016	31/12/2018	Modification
COBS14.2.7	Threadneedle Investment Services Limited	190437	19/04/2012	30/06/2014	Modification
COBS14.2.7	Threadneedle Investment Services Limited	190437	12/05/2014	30/06/2016	Modification
COBS14.2.7	True Potential Investments LLP	527444	16/05/2014	30/06/2016	Modification
COBS14.2.7	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS14.2.7	Vanguard Investments UK, Ltd	494699	08/12/2011	30/06/2014	Modification
COBS14.2.7	WAY Fund Managers Limited	194147	20/06/2014	30/06/2016	Modification
COBS14.2.7	Zurich Investment Services (UK) Limited	628981	25/02/2015	30/06/2016	Modification
COBS14.2.7 (R)	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.2.7 (R)	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.2.7 (R)	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2018	Modification
COBS14.2.7 (R)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.2.7 (R)	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2018	Modification
COBS14.2.7 (R)	Man Fund Management UK Limited	185916	01/07/2016	31/12/2018	Modification
COBS14.2.7 (R)	Margetts Fund Management Limited	208565	01/07/2016	31/12/2018	Modification
COBS14.2.7 (R)	MT Capital Management Limited	623887	01/07/2016	31/12/2018	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS14.2.7 (R)	Novitas Loans Ltd	716962	01/07/2016	14/06/2018	Modification
COBS14.2.7 (R)	Partners Group (UK) Ltd	401307	01/09/2015	30/06/2016	Modification
COBS14.2.7 (R)	Sarasin Investment Funds Limited	122244	11/10/2016	31/12/2018	Modification
COBS14.2.7 (R)	Schroder Unit Trusts Limited	197288	01/07/2016	31/12/2018	Modification
COBS14.2.7 (R)	THESIS Unit Trust Management Limited	186882	01/07/2016	31/12/2018	Modification
COBS14.2.7 (R)	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.2.7 (R)	Tutman LLP	612721	01/07/2016	31/12/2018	Modification
COBS14.2.9	EdenTree Investment Management Limited	527473	15/05/2014	30/06/2016	Modification
COBS14.2.9	Aberdeen Fund Managers Limited	121803	22/03/2012	30/06/2014	Modification
COBS14.2.9	Aberdeen Fund Managers Limited	121803	28/03/2014	30/06/2016	Modification
COBS14.2.9	Alpha Real Capital LLP	436048	16/04/2014	30/06/2016	Modification
COBS14.2.9	Alpha Real Capital LLP	436048	11/11/2013	20/06/2014	Modification
COBS14.2.9	Architas Multi-Manager Limited	477328	16/04/2014	30/06/2016	Modification
COBS14.2.9	Architas Multi-Manager Limited	477328	25/11/2011	30/06/2014	Modification
COBS14.2.9	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS14.2.9	AXA Investment Managers UK Ltd	119368	08/04/2014	30/06/2016	Modification
COBS14.2.9	Baillie Gifford & Co Limited	119179	17/02/2012	30/06/2014	Modification
COBS14.2.9	Baillie Gifford & Co Limited	119179	29/04/2014	30/06/2016	Modification
COBS14.2.9	Barclays Asset Management Limited	505543	30/06/2014	30/06/2016	Modification
COBS14.2.9	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS14.2.9	BMO Fund Management Limited	121940	15/06/2012	30/06/2014	Modification
COBS14.2.9	Carvetian Capital Management Limited	530809	17/02/2012	30/06/2014	Modification
COBS14.2.9	City Financial Investment Company Limited	189302	09/07/2012	30/06/2014	Modification
COBS14.2.9	FIL Investment Services (UK) Limited	121939	31/01/2012	30/06/2014	Modification
COBS14.2.9	FIL Investment Services (UK) Limited	121939	08/04/2014	30/06/2016	Modification
COBS14.2.9	Fundrock Partners Limited	469278	22/08/2012	30/06/2014	Modification
COBS14.2.9	Fundrock Partners Limited	469278	23/06/2014	30/06/2016	Modification
COBS14.2.9	HBOS Investment Fund Managers Limited	119223	21/05/2014	30/06/2016	Modification
COBS14.2.9	HBOS Investment Fund Managers Limited	119223	30/05/2012	30/06/2014	Modification
COBS14.2.9	Henderson Investment Funds Limited	121859	25/06/2012	30/06/2014	Modification

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COBS14.2.9	Host Capital Limited	429093	15/10/2012	30/06/2014	Modification
COBS14.2.9	HSBC Global Asset Management (UK) Limited	122335	31/05/2012	30/06/2014	Modification
COBS14.2.9	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS14.2.9	Ignis Fund Managers Limited	122188	05/04/2012	30/06/2014	Modification
COBS14.2.9	Ignis Fund Managers Limited	122188	07/11/2014	30/06/2016	Modification
COBS14.2.9	Insight Investment Funds Management Ltd	122259	09/03/2012	30/06/2014	Modification
COBS14.2.9	Investment Fund Services Ltd	464193	07/05/2014	30/06/2016	Modification
COBS14.2.9	JPMorgan Funds Limited	119346	17/04/2014	30/06/2016	Modification
COBS14.2.9	JPMorgan Funds Limited	119346	06/03/2012	30/06/2014	Modification
COBS14.2.9	Jupiter Unit Trust Managers Limited	122488	13/02/2013	30/06/2014	Modification
COBS14.2.9	Jupiter Unit Trust Managers Limited	122488	28/03/2014	30/06/2016	Modification
COBS14.2.9	Kames Capital plc	144267	21/02/2014	30/06/2014	Modification
COBS14.2.9	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS14.2.9	Legal & General (Unit Trust Managers) Limited	119273	02/03/2012	30/06/2014	Modification
COBS14.2.9	Link Fund Solutions Limited	119197	30/05/2012	30/06/2014	Modification
COBS14.2.9	Liontrust Fund Partners LLP	518165	17/04/2014	30/06/2016	Modification
COBS14.2.9	M & G Securities Limited	122057	01/05/2014	30/06/2016	Modification
COBS14.2.9	M & G Securities Limited	122057	06/12/2011	30/06/2014	Modification
COBS14.2.9	Maitland Institutional Services Ltd	469627	17/04/2014	30/06/2016	Modification
COBS14.2.9	Man Managed Funds ICVC	465345	08/02/2012	30/06/2014	Modification
COBS14.2.9	Margetts Fund Management Limited	208565	11/01/2013	30/06/2014	Modification
COBS14.2.9	Marlborough Fund Managers Ltd	141660	27/03/2012	30/06/2014	Modification
COBS14.2.9	Marlborough Fund Managers Ltd	141660	30/06/2014	30/06/2016	Modification
COBS14.2.9	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.2.9	N.F.U. Mutual Unit Managers Limited	121922	04/07/2012	30/06/2014	Modification
COBS14.2.9	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS14.2.9	Premier Portfolio Managers Limited	122067	18/05/2012	30/06/2014	Modification
COBS14.2.9	Premier Portfolio Managers Limited	122067	30/06/2014	30/06/2016	Modification
COBS14.2.9	Prudential Unit Trusts Limited	122008	01/05/2014	30/06/2016	Modification
COBS14.2.9	Prudential Unit Trusts Limited	122008	06/12/2011	30/06/2014	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS14.2.9	Quilter Investors Limited	208543	09/04/2014	30/06/2016	Modification
COBS14.2.9	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification
COBS14.2.9	Rathbone Unit Trust Management Limited	144266	17/02/2012	30/06/2014	Modification
COBS14.2.9	Rathbone Unit Trust Management Limited	144266	28/05/2014	30/06/2016	Waiver
COBS14.2.9	RBS Investment Options ICVC	476834	01/07/2016	31/12/2018	Waiver
COBS14.2.9	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
COBS14.2.9	Sand Aire Limited	177030	26/01/2015	30/06/2016	Modification
COBS14.2.9	Santander Asset Management UK Limited	122491	08/04/2014	30/06/2014	Modification
COBS14.2.9	Sarasin Investment Funds Limited	122244	31/01/2012	30/06/2014	Modification
COBS14.2.9	Schroder Unit Trusts Limited	197288	22/09/2011	30/06/2014	Modification
COBS14.2.9	Schroder Unit Trusts Limited	197288	12/05/2014	30/06/2016	Modification
COBS14.2.9	Scottish Widows Unit Trust Managers Limited	122129	30/05/2012	30/06/2014	Modification
COBS14.2.9	Scottish Widows Unit Trust Managers Limited	122129	21/05/2014	30/06/2016	Modification
COBS14.2.9	Seven Investment Management LLP	589124	03/11/2014	30/06/2016	Modification
COBS14.2.9	Smith & Williamson Fund Administration Limited	122401	09/04/2014	30/06/2016	Modification
COBS14.2.9	Smith & Williamson Fund Administration Limited	122401	06/01/2014	30/06/2014	Modification
COBS14.2.9	SMT FUND SERVICES (UK) LIMITED	506492	12/06/2012	30/06/2012	Modification
COBS14.2.9	St. James's Place Unit Trust Group Limited	122472	16/04/2014	30/06/2016	Modification
COBS14.2.9	Standard Life Investments (Mutual Funds) Limited	146477	29/08/2012	30/06/2014	Modification
COBS14.2.9	Stonehage Fleming Investment Management Limited	194382	12/05/2014	30/06/2016	Modification
COBS14.2.9	T. Bailey Fund Services Limited	190293	15/05/2014	30/06/2016	Modification
COBS14.2.9	THESIS Unit Trust Management Limited	186882	15/07/2011	30/06/2014	Modification
COBS14.2.9	Threadneedle Investment Services Limited	190437	19/04/2012	30/06/2014	Modification
COBS14.2.9	Threadneedle Investment Services Limited	190437	12/05/2014	30/06/2016	Modification
COBS14.2.9	True Potential Investments LLP	527444	16/05/2014	30/06/2016	Modification
COBS14.2.9	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS14.2.9	Vanguard Investments UK, Ltd	494699	08/12/2011	30/06/2014	Modification
COBS14.2.9	WAY Fund Managers Limited	194147	20/06/2014	30/06/2016	Modification
COBS14.2.9	Zurich Investment Services (UK) Limited	628981	25/02/2015	30/06/2016	Modification
COBS14.2.9 (AR)	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2018	Modification



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COBS14.2.9 (AR)	Baillie Gifford & Co	142597	25/04/2014	30/06/2016	Modification
COBS14.2.9 (AR)	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2018	Modification
COBS14.2.9 (AR)	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2018	Modification
COBS14.2.9 (AR)	Man Fund Management UK Limited	185916	01/07/2016	31/12/2018	Modification
COBS14.2.9 (AR)	Margetts Fund Management Limited	208565	01/07/2016	31/12/2018	Modification
COBS14.2.9 (AR)	Sarasin Investment Funds Limited	122244	11/10/2016	31/12/2018	Modification
COBS14.2.9 (AR)	Schroder Unit Trusts Limited	197288	01/07/2016	31/12/2018	Modification
COBS14.2.9 (AR)	THESIS Unit Trust Management Limited	186882	01/07/2016	31/12/2018	Modification
COBS14.2.9 (AR)	Tutman LLP	612721	01/07/2016	31/12/2018	Modification
COBS14.2.9 (R)	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2018	Modification
COBS14.2.9 (R)	Baillie Gifford & Co	142597	25/04/2014	30/06/2016	Modification
COBS14.2.9 (R)	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2018	Modification
COBS14.2.9 (R)	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2018	Modification
COBS14.2.9 (R)	Man Fund Management UK Limited	185916	01/07/2016	31/12/2018	Modification
COBS14.2.9 (R)	Margetts Fund Management Limited	208565	01/07/2016	31/12/2018	Modification
COBS14.2.9 (R)	Partners Group (UK) Ltd	401307	01/09/2015	30/06/2016	Modification
COBS14.2.9 (R)	Sarasin Investment Funds Limited	122244	11/10/2016	31/12/2018	Modification
COBS14.2.9 (R)	Schroder Unit Trusts Limited	197288	01/07/2016	31/12/2018	Modification
COBS14.2.9 (R)	THESIS Unit Trust Management Limited	186882	01/07/2016	31/12/2018	Modification
COBS14.2.9 (R)	Tutman LLP	612721	01/07/2016	31/12/2018	Modification
COBS14.2.10	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS14.2.10	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.2.10	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.2.10	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS14.2.10	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification
COBS14.2.10 (G)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.2.10 (G)	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.2.11	Financial Administration Services Limited	122169	18/12/2007	17/12/2012	Modification
COBS14.2.11	N.F.U. Mutual Unit Managers Limited	121922	04/07/2012	30/06/2014	Modification
COBS14.2.11 (AR)	Close Asset Management (UK) Limited	175827	01/07/2016	31/12/2018	Modification

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COBS14.2.14	EdenTree Investment Management Limited	527473	15/05/2014	30/06/2016	Modification
COBS14.2.14	Aberdeen Fund Managers Limited	121803	22/03/2012	30/06/2014	Modification
COBS14.2.14	Aberdeen Fund Managers Limited	121803	28/03/2014	30/06/2016	Modification
COBS14.2.14	Alpha Real Capital LLP	436048	16/04/2014	30/06/2016	Modification
COBS14.2.14	Alpha Real Capital LLP	436048	11/11/2013	20/06/2014	Modification
COBS14.2.14	Architas Multi-Manager Limited	477328	16/04/2014	30/06/2016	Modification
COBS14.2.14	Architas Multi-Manager Limited	477328	25/11/2011	30/06/2014	Modification
COBS14.2.14	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS14.2.14	AXA Investment Managers UK Ltd	119368	08/04/2014	30/06/2016	Modification
COBS14.2.14	Baillie Gifford & Co Limited	119179	17/02/2012	30/06/2014	Modification
COBS14.2.14	Baillie Gifford & Co Limited	119179	29/04/2014	30/06/2016	Modification
COBS14.2.14	Barclays Asset Management Limited	505543	30/06/2014	30/06/2016	Modification
COBS14.2.14	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS14.2.14	BMO Fund Management Limited	121940	15/06/2012	30/06/2014	Modification
COBS14.2.14	Carvetian Capital Management Limited	530809	17/02/2012	30/06/2014	Modification
COBS14.2.14	City Financial Investment Company Limited	189302	09/07/2012	30/06/2014	Modification
COBS14.2.14	FIL Investment Services (UK) Limited	121939	31/01/2012	30/06/2014	Modification
COBS14.2.14	FIL Investment Services (UK) Limited	121939	08/04/2014	30/06/2016	Modification
COBS14.2.14	Fundrock Partners Limited	469278	22/08/2012	30/06/2014	Modification
COBS14.2.14	Fundrock Partners Limited	469278	23/06/2014	30/06/2016	Modification
COBS14.2.14	HBOS Investment Fund Managers Limited	119223	21/05/2014	30/06/2016	Modification
COBS14.2.14	HBOS Investment Fund Managers Limited	119223	30/05/2012	30/06/2014	Modification
COBS14.2.14	Henderson Investment Funds Limited	121859	25/06/2012	30/06/2014	Modification
COBS14.2.14	Host Capital Limited	429093	15/10/2012	30/06/2014	Modification
COBS14.2.14	HSBC Global Asset Management (UK) Limited	122335	31/05/2012	30/06/2014	Modification
COBS14.2.14	Ignis Fund Managers Limited	122188	05/04/2012	30/06/2014	Modification
COBS14.2.14	Ignis Fund Managers Limited	122188	07/11/2014	30/06/2016	Modification
COBS14.2.14	Insight Investment Funds Management Ltd	122259	09/03/2012	30/06/2014	Modification
COBS14.2.14	Investment Fund Services Ltd	464193	07/05/2014	30/06/2016	Modification
COBS14.2.14	JPMorgan Funds Limited	119346	17/04/2014	30/06/2016	Modification

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COBS14.2.14	JPMorgan Funds Limited	119346	06/03/2012	30/06/2014	Modification
COBS14.2.14	Jupiter Unit Trust Managers Limited	122488	13/02/2013	30/06/2014	Modification
COBS14.2.14	Jupiter Unit Trust Managers Limited	122488	28/03/2014	30/06/2016	Modification
COBS14.2.14	Kames Capital plc	144267	21/02/2014	30/06/2014	Modification
COBS14.2.14	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS14.2.14	Legal & General (Unit Trust Managers) Limited	119273	02/03/2012	30/06/2014	Modification
COBS14.2.14	Link Fund Solutions Limited	119197	30/05/2012	30/06/2014	Modification
COBS14.2.14	Liontrust Fund Partners LLP	518165	17/04/2014	30/06/2016	Modification
COBS14.2.14	M & G Securities Limited	122057	01/05/2014	30/06/2016	Modification
COBS14.2.14	M & G Securities Limited	122057	06/12/2011	30/06/2014	Modification
COBS14.2.14	Maitland Institutional Services Ltd	469627	17/04/2014	30/06/2016	Modification
COBS14.2.14	Man Managed Funds ICVC	465345	08/02/2012	30/06/2014	Modification
COBS14.2.14	Margetts Fund Management Limited	208565	11/01/2013	30/06/2014	Modification
COBS14.2.14	Marlborough Fund Managers Ltd	141660	27/03/2012	30/06/2014	Modification
COBS14.2.14	Marlborough Fund Managers Ltd	141660	30/06/2014	30/06/2016	Modification
COBS14.2.14	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.2.14	N.F.U. Mutual Unit Managers Limited	121922	04/07/2012	30/06/2014	Modification
COBS14.2.14	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS14.2.14	Partners Group (UK) Ltd	401307	01/09/2015	30/06/2016	Modification
COBS14.2.14	Premier Portfolio Managers Limited	122067	18/05/2012	30/06/2014	Modification
COBS14.2.14	Premier Portfolio Managers Limited	122067	30/06/2014	30/06/2016	Modification
COBS14.2.14	Prudential Unit Trusts Limited	122008	01/05/2014	30/06/2016	Modification
COBS14.2.14	Prudential Unit Trusts Limited	122008	06/12/2011	30/06/2014	Modification
COBS14.2.14	Quilter Investors Limited	208543	09/04/2014	30/06/2016	Modification
COBS14.2.14	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification
COBS14.2.14	Rathbone Unit Trust Management Limited	144266	17/02/2012	30/06/2014	Modification
COBS14.2.14	Rathbone Unit Trust Management Limited	144266	28/05/2014	30/06/2016	Waiver
COBS14.2.14	RBS Investment Options ICVC	476834	01/07/2016	31/12/2018	Waiver
COBS14.2.14	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
COBS14.2.14	Sand Aire Limited	177030	26/01/2015	30/06/2016	Modification

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COBS14.2.14	Santander Asset Management UK Limited	122491	08/04/2014	30/06/2014	Modification
COBS14.2.14	Sarasin Investment Funds Limited	122244	31/01/2012	30/06/2014	Modification
COBS14.2.14	Schroder Unit Trusts Limited	197288	22/09/2011	30/06/2014	Modification
COBS14.2.14	Schroder Unit Trusts Limited	197288	12/05/2014	30/06/2016	Modification
COBS14.2.14	Scottish Widows Unit Trust Managers Limited	122129	30/05/2012	30/06/2014	Modification
COBS14.2.14	Scottish Widows Unit Trust Managers Limited	122129	21/05/2014	30/06/2016	Modification
COBS14.2.14	Seven Investment Management LLP	589124	03/11/2014	30/06/2016	Modification
COBS14.2.14	Smith & Williamson Fund Administration Limited	122401	09/04/2014	30/06/2016	Modification
COBS14.2.14	Smith & Williamson Fund Administration Limited	122401	06/01/2014	30/06/2014	Modification
COBS14.2.14	SMT FUND SERVICES (UK) LIMITED	506492	12/06/2012	30/06/2012	Modification
COBS14.2.14	St. James's Place Unit Trust Group Limited	122472	16/04/2014	30/06/2016	Modification
COBS14.2.14	Standard Life Investments (Mutual Funds) Limited	146477	29/08/2012	30/06/2014	Modification
COBS14.2.14	Stonehage Fleming Investment Management Limited	194382	12/05/2014	30/06/2016	Modification
COBS14.2.14	T. Bailey Fund Services Limited	190293	15/05/2014	30/06/2016	Modification
COBS14.2.14	THESIS Unit Trust Management Limited	186882	15/07/2011	30/06/2014	Modification
COBS14.2.14	Threadneedle Investment Services Limited	190437	19/04/2012	30/06/2014	Modification
COBS14.2.14	Threadneedle Investment Services Limited	190437	12/05/2014	30/06/2016	Modification
COBS14.2.14	True Potential Investments LLP	527444	16/05/2014	30/06/2016	Modification
COBS14.2.14	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS14.2.14	Vanguard Investments UK, Ltd	494699	08/12/2011	30/06/2014	Modification
COBS14.2.14	WAY Fund Managers Limited	194147	20/06/2014	30/06/2016	Modification
COBS14.2.14	Zurich Investment Services (UK) Limited	628981	25/02/2015	30/06/2016	Modification
COBS14.2.14 (R)	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2018	Modification
COBS14.2.14 (R)	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.2.14 (R)	Baillie Gifford & Co	142597	25/04/2014	30/06/2016	Modification
COBS14.2.14 (R)	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2018	Modification
COBS14.2.14 (R)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.2.14 (R)	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2018	Modification
COBS14.2.14 (R)	Man Fund Management UK Limited	185916	01/07/2016	31/12/2018	Modification
COBS14.2.14 (R)	Margetts Fund Management Limited	208565	01/07/2016	31/12/2018	Modification

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COBS14.2.14 (R)	Sarasin Investment Funds Limited	122244	11/10/2016	31/12/2018	Modification
COBS14.2.14 (R)	Schroder Unit Trusts Limited	197288	01/07/2016	31/12/2018	Modification
COBS14.2.14 (R)	THESIS Unit Trust Management Limited	186882	01/07/2016	31/12/2018	Modification
COBS14.2.14 (R)	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.2.14 (R)	Tutman LLP	612721	01/07/2016	31/12/2018	Modification
COBS14.2.16	EdenTree Investment Management Limited	527473	27/03/2014	30/06/2016	Modification
COBS14.2.16	Aberforth Unit Trust Managers Ltd	146788	06/07/2012	30/06/2014	Modification
COBS14.2.16	Aberforth Unit Trust Managers Ltd	146788	15/05/2012	30/06/2012	Modification
COBS14.2.16	Aberforth Unit Trust Managers Ltd	146788	16/04/2014	30/06/2016	Modification
COBS14.2.16	Adam & Company Investment Management Ltd	141831	26/05/2016	31/12/2017	Modification
COBS14.2.16	Alliance Trust Savings Limited	116115	28/06/2012	30/06/2014	Modification
COBS14.2.16	Architas Multi-Manager Limited	477328	30/06/2014	30/06/2016	Modification
COBS14.2.16	Atticus Holdings Ltd	187674	18/12/2012	30/06/2014	Modification
COBS14.2.16	Atticus Holdings Ltd	187674	18/08/2014	30/06/2016	Modification
COBS14.2.16	Baillie Gifford & Co Limited	119179	08/05/2014	30/06/2016	Modification
COBS14.2.16	Baillie Gifford & Co Limited	119179	22/02/2012	30/06/2012	Modification
COBS14.2.16	Baillie Gifford & Co Limited	119179	11/06/2012	30/06/2014	Modification
COBS14.2.16	Baillie Gifford Overseas Limited	121818	12/06/2012	30/06/2014	Modification
COBS14.2.16	Baillie Gifford Overseas Limited	121818	06/03/2012	30/06/2012	Modification
COBS14.2.16	Barclays Asset Management Limited	505543	27/03/2014	30/06/2016	Modification
COBS14.2.16	Barclays Asset Management Limited	505543	01/07/2012	30/06/2014	Modification
COBS14.2.16	Barclays Bank Plc	122702	27/03/2014	30/06/2016	Modification
COBS14.2.16	Barclays Bank Plc	122702	01/07/2012	30/06/2014	Modification
COBS14.2.16	Barclays Bank Plc	122702	06/03/2012	30/06/2012	Modification
COBS14.2.16	Barclays Capital Securities Limited	124431	12/06/2012	30/06/2014	Modification
COBS14.2.16	BARCLAYS INVESTMENT SOLUTIONS LIMITED	155595	01/07/2012	30/06/2014	Modification
COBS14.2.16	BARCLAYS INVESTMENT SOLUTIONS LIMITED	155595	06/03/2012	30/06/2012	Modification
COBS14.2.16	BARCLAYS INVESTMENT SOLUTIONS LIMITED	155595	27/03/2014	30/06/2016	Modification
COBS14.2.16	Barclays Stockbrokers Limited	124247	27/03/2014	30/06/2016	Modification
COBS14.2.16	Barclays Stockbrokers Limited	124247	01/07/2012	30/06/2014	Modification

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COBS14.2.16	Barclays Stockbrokers Limited	124247	06/03/2012	30/06/2012	Modification
COBS14.2.16	Baring Fund Managers Limited	119187	08/04/2014	30/06/2016	Modification
COBS14.2.16	Baring Fund Managers Limited	119187	20/06/2012	30/06/2014	Modification
COBS14.2.16	BDDL Limited	114359	19/07/2012	30/06/2014	Modification
COBS14.2.16	BMO Fund Management Limited	121940	14/06/2012	30/06/2014	Modification
COBS14.2.16	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS14.2.16	BNY Mellon Investment Management EMEA Limited	119196	24/02/2012	30/06/2012	Modification
COBS14.2.16	BNY Mellon Investment Management EMEA Limited	119196	01/07/2012	30/06/2014	Modification
COBS14.2.16	Brewin Dolphin Limited	124444	18/06/2012	30/06/2014	Modification
COBS14.2.16	Brewin Dolphin Limited	124444	20/06/2014	30/06/2016	Modification
COBS14.2.16	Brown Shipley & Co Limited	124548	29/06/2012	30/06/2014	Modification
COBS14.2.16	Carvetian Capital Management Limited	530809	18/06/2012	30/06/2014	Modification
COBS14.2.16	Carvetian Capital Management Limited	530809	10/04/2014	30/06/2016	Modification
COBS14.2.16	Charles Stanley & Co Ltd	124412	14/06/2012	30/06/2014	Modification
COBS14.2.16	Charles Stanley & Co Ltd	124412	30/06/2014	30/06/2016	Modification
COBS14.2.16	CHARLES STANLEY INVESTMENT CHOICES LIMITED	114956	06/08/2012	30/06/2014	Modification
COBS14.2.16	CHARLES STANLEY INVESTMENT CHOICES LIMITED	114956	30/06/2014	30/06/2016	Modification
COBS14.2.16	Chelsea Financial Services Plc	114493	12/11/2012	30/06/2014	Modification
COBS14.2.16	City Financial Investment Company Limited	189302	25/06/2012	30/06/2014	Modification
COBS14.2.16	City Financial Investment Company Limited	189302	01/07/2016	31/12/2017	Modification
COBS14.2.16	Clerical Medical Investment Fund Managers Ltd	171278	22/05/2013	30/06/2014	Modification
COBS14.2.16	Clerical Medical Investment Fund Managers Ltd	171278	23/05/2014	30/06/2016	Modification
COBS14.2.16	Close Asset Management (UK) Limited	175827	01/07/2012	30/06/2014	Modification
COBS14.2.16	Close Asset Management Limited	119329	01/07/2012	30/06/2014	Modification
COBS14.2.16	Cofunds Limited	194734	27/03/2014	30/06/2016	Modification
COBS14.2.16	Cofunds Limited	194734	28/06/2012	30/06/2014	Modification
COBS14.2.16	Cowen Execution Services Limited	472780	23/06/2014	30/06/2016	Modification
COBS14.2.16	Cowen Execution Services Limited	472780	30/08/2013	30/06/2014	Modification
COBS14.2.16	Deutsche Bank AG	150018	30/06/2014	30/06/2016	Modification
COBS14.2.16	Deutsche Bank AG	150018	20/06/2012	30/06/2014	Modification

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COBS14.2.16	Dimensional Fund Advisors Ltd	150100	28/06/2012	30/06/2014	Modification
COBS14.2.16	EFG Asset Management (UK) Limited	536771	21/05/2014	30/06/2016	Waiver
COBS14.2.16	EFG Asset Management (UK) Limited	536771	11/06/2012	30/06/2014	Modification
COBS14.2.16	EFG Private Bank Limited	144036	30/06/2014	30/06/2016	Modification
COBS14.2.16	EFG Private Bank Limited	144036	11/06/2012	30/06/2014	Modification
COBS14.2.16	Engage Mutual Funds Limited	181487	19/06/2012	30/06/2014	Modification
COBS14.2.16	Expatriate Advisory Services Plc	125686	12/09/2012	30/06/2014	Waiver
COBS14.2.16	FIL Investment Advisors (UK) Limited	159360	27/06/2014	30/06/2016	Modification
COBS14.2.16	FIL Investment Advisors (UK) Limited	159360	11/07/2012	30/06/2014	Modification
COBS14.2.16	FIL Investment Services (UK) Limited	121939	11/07/2012	30/06/2014	Modification
COBS14.2.16	FIL Investment Services (UK) Limited	121939	27/06/2014	30/06/2016	Modification
COBS14.2.16	FIL Investments International	122170	27/06/2014	30/06/2016	Modification
COBS14.2.16	FIL Investments International	122170	11/07/2012	30/06/2014	Modification
COBS14.2.16	FIL Pensions Management	144345	27/06/2014	30/06/2016	Modification
COBS14.2.16	FIL Pensions Management	144345	11/07/2012	30/06/2014	Modification
COBS14.2.16	FIL Real Estate Investment Management Limited	476373	27/06/2014	30/06/2016	Modification
COBS14.2.16	FIL Real Estate Investment Management Limited	476373	11/07/2012	30/06/2014	Modification
COBS14.2.16	Financial Administration Services Limited	122169	11/07/2012	30/06/2014	Modification
COBS14.2.16	Financial Administration Services Limited	122169	27/06/2014	30/06/2016	Modification
COBS14.2.16	Fundrock Partners Limited	469278	29/06/2012	30/06/2014	Modification
COBS14.2.16	Fundrock Partners Limited	469278	29/05/2014	30/06/2016	Modification
COBS14.2.16	Gerrard Financial Planning Ltd	134157	19/03/2012	30/06/2012	Modification
COBS14.2.16	Gerrard Financial Planning Ltd	134157	27/03/2014	30/06/2016	Modification
COBS14.2.16	Gerrard Financial Planning Ltd	134157	01/07/2012	30/06/2014	Modification
COBS14.2.16	Halifax Share Dealing Limited	183332	01/07/2016	31/12/2017	Modification
COBS14.2.16	Halifax Share Dealing Limited	183332	23/06/2014	30/06/2016	Modification
COBS14.2.16	Halifax Share Dealing Limited	183332	22/06/2012	30/06/2014	Modification
COBS14.2.16	Hargreave Hale Limited	209741	25/09/2012	30/06/2014	Modification
COBS14.2.16	Hargreaves Lansdown Asset Management Limited	115248	20/02/2012	30/06/2012	Modification
COBS14.2.16	Hargreaves Lansdown Asset Management Limited	115248	01/07/2012	30/06/2014	Modification

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COBS14.2.16	Hargreaves Lansdown Asset Management Limited	115248	27/03/2014	30/06/2016	Modification
COBS14.2.16	HBOS Investment Fund Managers Limited	119223	23/05/2014	30/06/2016	Modification
COBS14.2.16	HBOS Investment Fund Managers Limited	119223	19/06/2012	30/06/2014	Modification
COBS14.2.16	Henderson Investment Funds Limited	121859	27/03/2014	30/06/2016	Modification
COBS14.2.16	Henderson Investment Funds Limited	121859	08/06/2012	30/06/2014	Modification
COBS14.2.16	HSBC Bank Plc	114216	20/02/2012	30/06/2012	Modification
COBS14.2.16	HSBC Bank Plc	114216	01/07/2012	30/06/2014	Modification
COBS14.2.16	HSBC Bank Plc	114216	08/07/2014	30/06/2016	Modification
COBS14.2.16	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS14.2.16	HSBC Global Asset Management (UK) Limited	122335	26/06/2012	30/06/2014	Modification
COBS14.2.16	HSBC Life (UK) Limited	133435	01/07/2012	30/06/2014	Modification
COBS14.2.16	HSBC Life (UK) Limited	133435	20/02/2012	30/06/2012	Modification
COBS14.2.16	HSBC Life (UK) Limited	133435	08/07/2014	30/06/2016	Modification
COBS14.2.16	HSBC Private Bank (UK) Limited	124781	16/06/2014	30/06/2014	Modification
COBS14.2.16	HSBC Private Bank (UK) Limited	124781	15/06/2012	30/06/2014	Modification
COBS14.2.16	HSBC Trust Company (UK) Ltd	119297	07/07/2014	30/06/2016	Modification
COBS14.2.16	HSBC Trust Company (UK) Ltd	119297	20/02/2012	30/06/2012	Modification
COBS14.2.16	HSBC Trust Company (UK) Ltd	119297	01/07/2012	30/06/2014	Modification
COBS14.2.16	HSBC Trust Company (UK) Ltd	119297	01/07/2016	31/12/2017	Modification
COBS14.2.16	Insight Investment Funds Management Ltd	122259	08/05/2012	30/06/2012	Modification
COBS14.2.16	Insight Investment Funds Management Ltd	122259	01/07/2012	30/06/2014	Modification
COBS14.2.16	Invesco Asset Management Limited	122674	21/02/2012	30/06/2012	Modification
COBS14.2.16	Investec Fund Managers Limited	145007	23/02/2012	30/06/2012	Modification
COBS14.2.16	Investec Fund Managers Limited	145007	01/07/2012	30/06/2014	Modification
COBS14.2.16	Investec Fund Managers Limited	145007	23/04/2014	30/06/2016	Modification
COBS14.2.16	Investec Wealth & Investment Limited	124537	11/06/2012	30/06/2014	Modification
COBS14.2.16	Investec Wealth & Investment Limited	124537	16/06/2014	30/06/2016	Modification
COBS14.2.16	Investment Fund Services Ltd	464193	27/03/2014	30/06/2016	Modification
COBS14.2.16	Investment Fund Services Ltd	464193	28/08/2012	30/06/2014	Modification
COBS14.2.16	IWI FUND MANAGEMENT LIMITED	190607	13/06/2012	30/06/2014	Modification



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COBS14.2.16	J M Finn & Co Ltd	450754	16/04/2014	30/06/2016	Modification
COBS14.2.16	J M Finn & Co Ltd	450754	11/06/2012	30/06/2014	Modification
COBS14.2.16	James Brearley & Sons Limited	189219	06/03/2012	30/06/2012	Modification
COBS14.2.16	James Brearley & Sons Limited	189219	01/07/2012	30/06/2014	Modification
COBS14.2.16	James Hambro & Partners LLP	513246	30/06/2014	30/06/2016	Modification
COBS14.2.16	JPMorgan Asset Management Marketing Limited	122754	25/05/2012	30/06/2012	Modification
COBS14.2.16	JPMorgan Asset Management Marketing Limited	122754	01/07/2012	30/06/2014	Modification
COBS14.2.16	JPMorgan Asset Management Marketing Limited	122754	28/04/2014	30/06/2016	Modification
COBS14.2.16	JPMorgan Funds Limited	119346	01/07/2012	30/06/2014	Modification
COBS14.2.16	JPMorgan Funds Limited	119346	25/05/2012	30/06/2012	Modification
COBS14.2.16	JPMorgan Funds Limited	119346	29/04/2014	30/06/2016	Modification
COBS14.2.16	Julius Baer International Limited	139179	26/08/2014	30/06/2016	Modification
COBS14.2.16	Jupiter Unit Trust Managers Limited	122488	09/03/2012	30/06/2012	Modification
COBS14.2.16	JWP Creers Wealth Management Ltd	457864	14/06/2012	30/06/2014	Modification
COBS14.2.16	JWP Creers Wealth Management Ltd	457864	27/06/2014	30/06/2016	Modification
COBS14.2.16	Kames Capital plc	144267	11/06/2012	30/06/2014	Modification
COBS14.2.16	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS14.2.16	Killik & Co LLP	462016	21/05/2014	30/06/2016	Modification
COBS14.2.16	Killik & Co LLP	462016	26/06/2012	30/06/2014	Modification
COBS14.2.16	Lazard Asset Management Limited	121839	27/06/2012	30/06/2014	Modification
COBS14.2.16	Lazard Asset Management Limited	121839	16/04/2014	30/06/2016	Modification
COBS14.2.16	Lazard Fund Managers Limited	122190	18/06/2012	30/06/2014	Modification
COBS14.2.16	Lazard Fund Managers Limited	122190	21/05/2014	30/06/2016	Modification
COBS14.2.16	Legal & General (Portfolio Management Services) Ltd	146786	01/07/2012	30/06/2014	Modification
COBS14.2.16	Legal & General (Portfolio Management Services) Ltd	146786	16/02/2012	30/06/2012	Modification
COBS14.2.16	Legal & General (Unit Trust Managers) Limited	119273	16/06/2014	30/06/2016	Modification
COBS14.2.16	Legal & General (Unit Trust Managers) Limited	119273	01/07/2012	30/06/2014	Modification
COBS14.2.16	Legal & General (Unit Trust Managers) Limited	119273	16/02/2012	30/06/2012	Modification
COBS14.2.16	Legal and General Assurance Society Limited	117659	16/02/2012	30/06/2012	Modification
COBS14.2.16	Legal and General Assurance Society Limited	117659	01/07/2012	30/06/2014	Modification

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COBS14.2.16	Legg Mason Investment Funds Limited	172614	26/06/2012	30/06/2014	Modification
COBS14.2.16	Link Fund Solutions Limited	119197	19/07/2012	30/06/2014	Modification
COBS14.2.16	Link Fund Solutions Limited	119197	17/03/2014	30/06/2016	Modification
COBS14.2.16	Liontrust Investments Limited	479764	25/06/2012	30/06/2014	Modification
COBS14.2.16	Lloyds Bank PLC	119278	19/03/2013	30/06/2014	Modification
COBS14.2.16	Maitland Institutional Services Ltd	469627	01/07/2012	30/06/2014	Modification
COBS14.2.16	Majedie Asset Management Limited	217329	01/07/2012	30/06/2014	Modification
COBS14.2.16	Majedie Asset Management Limited	217329	17/03/2014	30/06/2016	Modification
COBS14.2.16	Manek Investment Management Limited	185226	11/06/2012	30/06/2014	Modification
COBS14.2.16	Margetts Fund Management Limited	208565	25/06/2012	30/06/2014	Modification
COBS14.2.16	Margetts Fund Management Limited	208565	26/05/2016	31/12/2017	Modification
COBS14.2.16	Marks and Spencer Unit Trust Management Limited	141662	01/07/2016	31/12/2017	Modification
COBS14.2.16	Marlborough Fund Managers Ltd	141660	17/03/2014	30/06/2016	Modification
COBS14.2.16	Marlborough Fund Managers Ltd	141660	11/06/2012	30/06/2014	Modification
COBS14.2.16	McInroy & Wood Portfolios Limited	144205	18/06/2012	30/06/2014	Modification
COBS14.2.16	Miton Trust Managers Limited	220241	29/06/2012	30/06/2014	Modification
COBS14.2.16	Morgan Stanley Private Wealth Management Limited	497620	28/06/2012	30/06/2014	Modification
COBS14.2.16	MT Fund Management Limited	175592	19/12/2012	30/06/2014	Modification
COBS14.2.16	MT Fund Management Limited	175592	10/04/2014	30/06/2016	Modification
COBS14.2.16	N.F.U. Mutual Unit Managers Limited	121922	01/07/2012	30/06/2014	Modification
COBS14.2.16	N.F.U. Mutual Unit Managers Limited	121922	17/04/2012	30/06/2012	Modification
COBS14.2.16	N.F.U. Mutual Unit Managers Limited	121922	04/07/2012	30/06/2014	Modification
COBS14.2.16	N.F.U. Mutual Unit Managers Limited	121922	25/04/2014	30/06/2016	Modification
COBS14.2.16	NatWest Markets Plc	121882	28/06/2012	30/06/2014	Modification
COBS14.2.16	NatWest Markets Plc	121882	19/06/2014	30/06/2016	Modification
COBS14.2.16	NFU Mutual Select Investments Limited	582519	10/12/2012	30/06/2014	Modification
COBS14.2.16	NFU Mutual Select Investments Limited	582519	25/04/2014	30/06/2016	Modification
COBS14.2.16	Old Mutual Wealth Limited	165359	29/06/2012	30/06/2014	Modification
COBS14.2.16	Premier Portfolio Managers Limited	122067	08/08/2012	30/06/2014	Modification
COBS14.2.16	Premier Portfolio Managers Limited	122067	01/05/2014	30/06/2016	Modification

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COBS14.2.16	Querns Asset Managers LLP	516255	25/06/2012	30/06/2014	Modification
COBS14.2.16	Quilter Cheviot Limited	124259	27/06/2012	30/06/2014	Modification
COBS14.2.16	RBS Asset Management (ACD) Ltd	437090	25/08/2016	31/12/2017	Modification
COBS14.2.16	RBS Asset Management (ACD) Ltd	437090	19/06/2014	30/06/2016	Modification
COBS14.2.16	RBS Collective Investment Funds Limited	122139	19/06/2014	30/06/2016	Modification
COBS14.2.16	Redmayne-Bentley LLP	499510	01/07/2012	30/06/2014	Modification
COBS14.2.16	Redmayne-Bentley LLP	499510	21/05/2014	30/06/2016	Modification
COBS14.2.16	Redmayne-Bentley LLP	499510	19/03/2012	30/06/2012	Modification
COBS14.2.16	Reech REIM LLP	463603	25/06/2012	30/06/2014	Modification
COBS14.2.16	River and Mercantile Asset Management LLP	453087	16/04/2014	30/06/2016	Modification
COBS14.2.16	River and Mercantile Asset Management LLP	453087	12/06/2012	30/06/2014	Modification
COBS14.2.16	Rothschild Private Fund Management Ltd	230182	14/06/2012	30/06/2014	Modification
COBS14.2.16	Sand Aire Limited	177030	21/01/2015	30/06/2016	Modification
COBS14.2.16	Sand Aire Limited	177030	28/06/2012	30/06/2014	Modification
COBS14.2.16	Santander Asset Management UK Limited	122491	09/04/2014	30/06/2016	Modification
COBS14.2.16	Santander Asset Management UK Limited	122491	29/06/2012	30/06/2014	Modification
COBS14.2.16	Santander ISA Managers Limited	171448	08/04/2014	30/06/2016	Modification
COBS14.2.16	Santander ISA Managers Limited	171448	29/06/2012	30/06/2012	Modification
COBS14.2.16	Scottish Friendly Asset Managers Limited	188832	12/06/2012	30/06/2014	Modification
COBS14.2.16	Scottish Widows Unit Trust Managers Limited	122129	13/05/2013	30/06/2014	Modification
COBS14.2.16	Scottish Widows Unit Trust Managers Limited	122129	23/05/2014	30/06/2016	Modification
COBS14.2.16	SLTM Limited	119366	22/06/2012	30/06/2014	Modification
COBS14.2.16	Smith & Williamson Financial Services Limited	180563	23/05/2014	30/06/2016	Modification
COBS14.2.16	Smith & Williamson Financial Services Limited	180563	25/07/2012	30/06/2014	Modification
COBS14.2.16	Smith & Williamson Fund Administration Limited	122401	17/03/2014	30/06/2016	Modification
COBS14.2.16	Smith & Williamson Fund Administration Limited	122401	11/10/2012	30/06/2014	Modification
COBS14.2.16	Smith & Williamson Investment Management LLP	580531	22/04/2014	30/06/2016	Modification
COBS14.2.16	Smith & Williamson Investment Services Limited	131816	27/06/2012	30/06/2012	Modification
COBS14.2.16	SMT FUND SERVICES (UK) LIMITED	506492	22/06/2012	30/06/2014	Modification
COBS14.2.16	St James's Place Investment Administration Limited	622916	16/07/2015	30/06/2016	Modification

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COBS14.2.16	St. James's Place Unit Trust Group Limited	122472	08/06/2012	30/06/2014	Modification
COBS14.2.16	St. James's Place Unit Trust Group Limited	122472	23/05/2014	30/06/2016	Modification
COBS14.2.16	Standard Life Assurance Limited	439567	06/03/2012	30/06/2012	Modification
COBS14.2.16	Standard Life Assurance Limited	439567	01/07/2012	30/06/2014	Modification
COBS14.2.16	Standard Life Assurance Limited	439567	17/03/2014	30/06/2016	Modification
COBS14.2.16	Standard Life Client Management Limited	435970	01/07/2012	30/06/2014	Modification
COBS14.2.16	Standard Life Client Management Limited	435970	17/03/2014	30/06/2016	Modification
COBS14.2.16	Standard Life Client Management Limited	435970	06/03/2012	30/06/2012	Modification
COBS14.2.16	Standard Life Investments (Mutual Funds) Limited	146477	22/06/2012	30/06/2014	Modification
COBS14.2.16	Standard Life Investments (Mutual Funds) Limited	146477	05/06/2014	30/06/2016	Modification
COBS14.2.16	Standard Life Savings Limited	188796	06/03/2012	30/06/2012	Modification
COBS14.2.16	Standard Life Savings Limited	188796	17/03/2014	30/06/2016	Modification
COBS14.2.16	Standard Life Savings Limited	188796	01/07/2012	30/06/2014	Modification
COBS14.2.16	SVM Asset Management Limited	146873	12/06/2012	30/06/2012	Modification
COBS14.2.16	T. Bailey Fund Services Limited	190293	14/06/2012	30/06/2014	Modification
COBS14.2.16	T. Bailey Fund Services Limited	190293	20/05/2014	30/06/2016	Modification
COBS14.2.16	T. Bailey Fund Services Limited	190293	02/05/2012	14/06/2012	Modification
COBS14.2.16	The Royal Bank of Scotland Plc	114724	26/05/2016	31/12/2017	Modification
COBS14.2.16	The Share Centre Limited	146768	18/06/2012	30/06/2014	Modification
COBS14.2.16	Threadneedle Investment Services Limited	190437	21/02/2012	30/06/2012	Modification
COBS14.2.16	Tilney Investment Management	124255	19/06/2014	30/06/2016	Modification
COBS14.2.16	Tilney Investment Management	124255	14/06/2012	30/06/2014	Modification
COBS14.2.16	Tunbridge Wells Equitable Friendly Society Ltd	109990	15/06/2012	30/06/2014	Modification
COBS14.2.16	Walker Crips Stockbrokers Ltd	226344	26/05/2016	31/12/2017	Modification
COBS14.2.16	Walker Crips Stockbrokers Ltd	226344	27/06/2014	30/06/2016	Modification
COBS14.2.16	Walker Crips Stockbrokers Ltd	226344	14/06/2012	30/06/2014	Modification
COBS14.2.16	Walker Crips Wealth Management Limited	114778	14/06/2012	30/06/2014	Modification
COBS14.2.16	Walker Crips Wealth Management Limited	114778	27/06/2014	30/06/2014	Modification
COBS14.2.16	WAY Fund Managers Limited	194147	23/05/2014	30/06/2016	Modification
COBS14.2.16	WAY Fund Managers Limited	194147	22/06/2012	30/06/2014	Modification

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COBS14.2.16	Williams de Broe Limited	149148	14/06/2012	30/06/2014	Modification
COBS14.2.16	Woolwich Plan Managers Limited	183887	01/07/2012	30/06/2014	Modification
COBS14.2.16	Woolwich Plan Managers Limited	183887	27/03/2014	30/06/2016	Modification
COBS14.2.16	Woolwich Plan Managers Limited	183887	06/03/2012	30/06/2012	Modification
COBS14.2.16	Zedra Trust Company (UK) Limited	119184	01/07/2012	30/06/2014	Modification
COBS14.2.16	Zedra Trust Company (UK) Limited	119184	27/03/2014	30/06/2016	Modification
COBS14.2.16 (2)	City Financial Investment Company Limited	189302	06/06/2014	30/06/2016	Waiver
COBS14.2.16 (2)	Marlborough Fund Managers Ltd	141660	20/02/2012	30/06/2012	Modification
COBS14.2.16 (2R)	Deutsche Asset Management (UK) Limited	429806	27/06/2014	30/06/2016	Modification
COBS14.2.16 (R)	EdenTree Investment Management Limited	527473	14/10/2016	31/12/2017	Modification
COBS14.2.16 (R)	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	Barclays Asset Management Limited	505543	07/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	Barclays Bank Plc	122702	07/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	BARCLAYS INVESTMENT SOLUTIONS LIMITED	155595	07/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	Barclays Stockbrokers Limited	124247	07/07/2016	31/12/2018	Modification
COBS14.2.16 (R)	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	Gerrard Financial Planning Ltd	134157	07/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	HSBC Bank Plc	114216	01/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	Link Fund Solutions Limited	119197	01/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	Santander ISA Managers Limited	171448	01/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	St. James's Place Wealth Management Plc	195351	16/07/2015	30/06/2016	Modification
COBS14.2.16 (R)	Standard Life Assurance Limited	439567	07/06/2016	31/12/2017	Modification
COBS14.2.16 (R)	Standard Life Client Management Limited	435970	07/06/2016	31/12/2017	Modification
COBS14.2.16 (R)	Standard Life Savings Limited	188796	07/06/2016	31/12/2017	Modification
COBS14.2.16 (R)	Woolwich Plan Managers Limited	183887	07/07/2016	31/12/2017	Modification
COBS14.2.16 (R)	Zedra Trust Company (UK) Limited	119184	07/07/2016	31/12/2017	Modification
COBS14.2.17	EdenTree Investment Management Limited	527473	27/03/2014	30/06/2016	Modification
COBS14.2.17	Aberforth Unit Trust Managers Ltd	146788	06/07/2012	30/06/2014	Modification
COBS14.2.17	Aberforth Unit Trust Managers Ltd	146788	15/05/2012	30/06/2012	Modification
COBS14.2.17	Aberforth Unit Trust Managers Ltd	146788	16/04/2014	30/06/2016	Modification

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COBS14.2.17	Adam & Company Investment Management Ltd	141831	26/05/2016	31/12/2017	Modification
COBS14.2.17	Alliance Trust Savings Limited	116115	28/06/2012	30/06/2014	Modification
COBS14.2.17	Architas Multi-Manager Limited	477328	30/06/2014	30/06/2016	Modification
COBS14.2.17	Atticus Holdings Ltd	187674	18/12/2012	30/06/2014	Modification
COBS14.2.17	Atticus Holdings Ltd	187674	18/08/2014	30/06/2016	Modification
COBS14.2.17	Baillie Gifford & Co Limited	119179	08/05/2014	30/06/2016	Modification
COBS14.2.17	Baillie Gifford & Co Limited	119179	22/02/2012	30/06/2012	Modification
COBS14.2.17	Baillie Gifford & Co Limited	119179	11/06/2012	30/06/2014	Modification
COBS14.2.17	Baillie Gifford Overseas Limited	121818	12/06/2012	30/06/2014	Modification
COBS14.2.17	Baillie Gifford Overseas Limited	121818	06/03/2012	30/06/2012	Modification
COBS14.2.17	Barclays Asset Management Limited	505543	27/03/2014	30/06/2016	Modification
COBS14.2.17	Barclays Asset Management Limited	505543	01/07/2012	30/06/2014	Modification
COBS14.2.17	Barclays Bank Plc	122702	27/03/2014	30/06/2016	Modification
COBS14.2.17	Barclays Bank Plc	122702	01/07/2012	30/06/2014	Modification
COBS14.2.17	Barclays Bank Plc	122702	06/03/2012	30/06/2012	Modification
COBS14.2.17	Barclays Capital Securities Limited	124431	12/06/2012	30/06/2014	Modification
COBS14.2.17	BARCLAYS INVESTMENT SOLUTIONS LIMITED	155595	01/07/2012	30/06/2014	Modification
COBS14.2.17	BARCLAYS INVESTMENT SOLUTIONS LIMITED	155595	06/03/2012	30/06/2012	Modification
COBS14.2.17	BARCLAYS INVESTMENT SOLUTIONS LIMITED	155595	27/03/2014	30/06/2016	Modification
COBS14.2.17	Barclays Stockbrokers Limited	124247	27/03/2014	30/06/2016	Modification
COBS14.2.17	Barclays Stockbrokers Limited	124247	01/07/2012	30/06/2014	Modification
COBS14.2.17	Barclays Stockbrokers Limited	124247	06/03/2012	30/06/2012	Modification
COBS14.2.17	Baring Fund Managers Limited	119187	08/04/2014	30/06/2016	Modification
COBS14.2.17	Baring Fund Managers Limited	119187	20/06/2012	30/06/2014	Modification
COBS14.2.17	BDDL Limited	114359	19/07/2012	30/06/2014	Modification
COBS14.2.17	BMO Fund Management Limited	121940	14/06/2012	30/06/2014	Modification
COBS14.2.17	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS14.2.17	BNY Mellon Investment Management EMEA Limited	119196	24/02/2012	30/06/2012	Modification
COBS14.2.17	BNY Mellon Investment Management EMEA Limited	119196	01/07/2012	30/06/2014	Modification
COBS14.2.17	Brewin Dolphin Limited	124444	18/06/2012	30/06/2014	Modification

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COBS14.2.17	Brewin Dolphin Limited	124444	20/06/2014	30/06/2016	Modification
COBS14.2.17	Brown Shipley & Co Limited	124548	29/06/2012	30/06/2014	Modification
COBS14.2.17	Carvetian Capital Management Limited	530809	18/06/2012	30/06/2014	Modification
COBS14.2.17	Carvetian Capital Management Limited	530809	10/04/2014	30/06/2016	Modification
COBS14.2.17	Charles Stanley & Co Ltd	124412	14/06/2012	30/06/2014	Modification
COBS14.2.17	Charles Stanley & Co Ltd	124412	30/06/2014	30/06/2016	Modification
COBS14.2.17	CHARLES STANLEY INVESTMENT CHOICES LIMITED	114956	06/08/2012	30/06/2014	Modification
COBS14.2.17	CHARLES STANLEY INVESTMENT CHOICES LIMITED	114956	30/06/2014	30/06/2016	Modification
COBS14.2.17	Chelsea Financial Services Plc	114493	12/11/2012	30/06/2014	Modification
COBS14.2.17	City Financial Investment Company Limited	189302	25/06/2012	30/06/2014	Modification
COBS14.2.17	City Financial Investment Company Limited	189302	01/07/2016	31/12/2017	Modification
COBS14.2.17	Clerical Medical Investment Fund Managers Ltd	171278	22/05/2013	30/06/2014	Modification
COBS14.2.17	Clerical Medical Investment Fund Managers Ltd	171278	23/05/2014	30/06/2016	Modification
COBS14.2.17	Close Asset Management (UK) Limited	175827	01/07/2012	30/06/2014	Modification
COBS14.2.17	Close Asset Management Limited	119329	01/07/2012	30/06/2014	Modification
COBS14.2.17	Cofunds Limited	194734	27/03/2014	30/06/2016	Modification
COBS14.2.17	Cofunds Limited	194734	28/06/2012	30/06/2014	Modification
COBS14.2.17	Cowen Execution Services Limited	472780	23/06/2014	30/06/2016	Modification
COBS14.2.17	Cowen Execution Services Limited	472780	30/08/2013	30/06/2014	Modification
COBS14.2.17	Deutsche Bank AG	150018	30/06/2014	30/06/2016	Modification
COBS14.2.17	Deutsche Bank AG	150018	20/06/2012	30/06/2014	Modification
COBS14.2.17	Dimensional Fund Advisors Ltd	150100	28/06/2012	30/06/2014	Modification
COBS14.2.17	EFG Asset Management (UK) Limited	536771	21/05/2014	30/06/2016	Waiver
COBS14.2.17	EFG Asset Management (UK) Limited	536771	11/06/2012	30/06/2014	Modification
COBS14.2.17	EFG Private Bank Limited	144036	30/06/2014	30/06/2016	Modification
COBS14.2.17	EFG Private Bank Limited	144036	11/06/2012	30/06/2014	Modification
COBS14.2.17	Engage Mutual Funds Limited	181487	19/06/2012	30/06/2014	Modification
COBS14.2.17	Expatriate Advisory Services Plc	125686	12/09/2012	30/06/2014	Waiver
COBS14.2.17	FIL Investment Advisors (UK) Limited	159360	27/06/2014	30/06/2016	Modification
COBS14.2.17	FIL Investment Advisors (UK) Limited	159360	11/07/2012	30/06/2014	Modification

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COBS14.2.17	FIL Investment Services (UK) Limited	121939	11/07/2012	30/06/2014	Modification
COBS14.2.17	FIL Investment Services (UK) Limited	121939	27/06/2014	30/06/2016	Modification
COBS14.2.17	FIL Investments International	122170	27/06/2014	30/06/2016	Modification
COBS14.2.17	FIL Investments International	122170	11/07/2012	30/06/2014	Modification
COBS14.2.17	FIL Pensions Management	144345	27/06/2014	30/06/2016	Modification
COBS14.2.17	FIL Pensions Management	144345	11/07/2012	30/06/2014	Modification
COBS14.2.17	FIL Real Estate Investment Management Limited	476373	27/06/2014	30/06/2016	Modification
COBS14.2.17	FIL Real Estate Investment Management Limited	476373	11/07/2012	30/06/2014	Modification
COBS14.2.17	Financial Administration Services Limited	122169	11/07/2012	30/06/2014	Modification
COBS14.2.17	Financial Administration Services Limited	122169	27/06/2014	30/06/2016	Modification
COBS14.2.17	Fundrock Partners Limited	469278	29/06/2012	30/06/2014	Modification
COBS14.2.17	Fundrock Partners Limited	469278	29/05/2014	30/06/2016	Modification
COBS14.2.17	Gerrard Financial Planning Ltd	134157	19/03/2012	30/06/2012	Modification
COBS14.2.17	Gerrard Financial Planning Ltd	134157	27/03/2014	30/06/2016	Modification
COBS14.2.17	Gerrard Financial Planning Ltd	134157	01/07/2012	30/06/2014	Modification
COBS14.2.17	Halifax Share Dealing Limited	183332	01/07/2016	31/12/2017	Modification
COBS14.2.17	Halifax Share Dealing Limited	183332	23/06/2014	30/06/2016	Modification
COBS14.2.17	Halifax Share Dealing Limited	183332	22/06/2012	30/06/2014	Modification
COBS14.2.17	Hargreave Hale Limited	209741	25/09/2012	30/06/2014	Modification
COBS14.2.17	Hargreaves Lansdown Asset Management Limited	115248	20/02/2012	30/06/2012	Modification
COBS14.2.17	Hargreaves Lansdown Asset Management Limited	115248	01/07/2012	30/06/2014	Modification
COBS14.2.17	Hargreaves Lansdown Asset Management Limited	115248	27/03/2014	30/06/2016	Modification
COBS14.2.17	HBOS Investment Fund Managers Limited	119223	23/05/2014	30/06/2016	Modification
COBS14.2.17	HBOS Investment Fund Managers Limited	119223	19/06/2012	30/06/2014	Modification
COBS14.2.17	Henderson Investment Funds Limited	121859	27/03/2014	30/06/2016	Modification
COBS14.2.17	Henderson Investment Funds Limited	121859	08/06/2012	30/06/2014	Modification
COBS14.2.17	HSBC Bank Plc	114216	20/02/2012	30/06/2012	Modification
COBS14.2.17	HSBC Bank Plc	114216	01/07/2012	30/06/2014	Modification
COBS14.2.17	HSBC Bank Plc	114216	08/07/2014	30/06/2016	Modification
COBS14.2.17	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification



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COBS14.2.17	HSBC Global Asset Management (UK) Limited	122335	26/06/2012	30/06/2014	Modification
COBS14.2.17	HSBC Life (UK) Limited	133435	01/07/2012	30/06/2014	Modification
COBS14.2.17	HSBC Life (UK) Limited	133435	08/07/2014	30/06/2016	Modification
COBS14.2.17	HSBC Private Bank (UK) Limited	124781	16/06/2014	30/06/2014	Modification
COBS14.2.17	HSBC Private Bank (UK) Limited	124781	15/06/2012	30/06/2014	Modification
COBS14.2.17	HSBC Trust Company (UK) Ltd	119297	07/07/2014	30/06/2016	Modification
COBS14.2.17	HSBC Trust Company (UK) Ltd	119297	20/02/2012	30/06/2012	Modification
COBS14.2.17	HSBC Trust Company (UK) Ltd	119297	01/07/2012	30/06/2014	Modification
COBS14.2.17	HSBC Trust Company (UK) Ltd	119297	01/07/2016	31/12/2017	Modification
COBS14.2.17	Insight Investment Funds Management Ltd	122259	08/05/2012	30/06/2012	Modification
COBS14.2.17	Insight Investment Funds Management Ltd	122259	01/07/2012	30/06/2014	Modification
COBS14.2.17	Invesco Asset Management Limited	122674	21/02/2012	30/06/2012	Modification
COBS14.2.17	Investec Fund Managers Limited	145007	23/02/2012	30/06/2012	Modification
COBS14.2.17	Investec Fund Managers Limited	145007	01/07/2012	30/06/2014	Modification
COBS14.2.17	Investec Fund Managers Limited	145007	23/04/2014	30/06/2016	Modification
COBS14.2.17	Investec Wealth & Investment Limited	124537	11/06/2012	30/06/2014	Modification
COBS14.2.17	Investec Wealth & Investment Limited	124537	16/06/2014	30/06/2016	Modification
COBS14.2.17	Investment Fund Services Ltd	464193	27/03/2014	30/06/2016	Modification
COBS14.2.17	Investment Fund Services Ltd	464193	28/08/2012	30/06/2014	Modification
COBS14.2.17	IWI FUND MANAGEMENT LIMITED	190607	13/06/2012	30/06/2014	Modification
COBS14.2.17	J M Finn & Co Ltd	450754	16/04/2014	30/06/2016	Modification
COBS14.2.17	J M Finn & Co Ltd	450754	11/06/2012	30/06/2014	Modification
COBS14.2.17	James Brearley & Sons Limited	189219	06/03/2012	30/06/2012	Modification
COBS14.2.17	James Brearley & Sons Limited	189219	01/07/2012	30/06/2014	Modification
COBS14.2.17	James Hambro & Partners LLP	513246	30/06/2014	30/06/2016	Modification
COBS14.2.17	JPMorgan Asset Management Marketing Limited	122754	25/05/2012	30/06/2012	Modification
COBS14.2.17	JPMorgan Asset Management Marketing Limited	122754	01/07/2012	30/06/2014	Modification
COBS14.2.17	JPMorgan Asset Management Marketing Limited	122754	28/04/2014	30/06/2016	Modification
COBS14.2.17	JPMorgan Funds Limited	119346	01/07/2012	30/06/2014	Modification
COBS14.2.17	JPMorgan Funds Limited	119346	25/05/2012	30/06/2012	Modification

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COBS14.2.17	JPMorgan Funds Limited	119346	29/04/2014	30/06/2016	Modification
COBS14.2.17	Julius Baer International Limited	139179	26/08/2014	30/06/2016	Modification
COBS14.2.17	Jupiter Unit Trust Managers Limited	122488	09/03/2012	30/06/2012	Modification
COBS14.2.17	JWP Creers Wealth Management Ltd	457864	14/06/2012	30/06/2014	Modification
COBS14.2.17	JWP Creers Wealth Management Ltd	457864	27/06/2014	30/06/2016	Modification
COBS14.2.17	Kames Capital plc	144267	11/06/2012	30/06/2014	Modification
COBS14.2.17	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS14.2.17	Killik & Co LLP	462016	21/05/2014	30/06/2016	Modification
COBS14.2.17	Killik & Co LLP	462016	26/06/2012	30/06/2014	Modification
COBS14.2.17	Lazard Asset Management Limited	121839	27/06/2012	30/06/2014	Modification
COBS14.2.17	Lazard Asset Management Limited	121839	16/04/2014	30/06/2016	Modification
COBS14.2.17	Lazard Fund Managers Limited	122190	18/06/2012	30/06/2014	Modification
COBS14.2.17	Lazard Fund Managers Limited	122190	21/05/2014	30/06/2016	Modification
COBS14.2.17	Legal & General (Portfolio Management Services) Ltd	146786	01/07/2012	30/06/2014	Modification
COBS14.2.17	Legal & General (Portfolio Management Services) Ltd	146786	16/02/2012	30/06/2012	Modification
COBS14.2.17	Legal & General (Unit Trust Managers) Limited	119273	16/06/2014	30/06/2016	Modification
COBS14.2.17	Legal & General (Unit Trust Managers) Limited	119273	01/07/2012	30/06/2014	Modification
COBS14.2.17	Legal & General (Unit Trust Managers) Limited	119273	16/02/2012	30/06/2012	Modification
COBS14.2.17	Legal and General Assurance Society Limited	117659	16/02/2012	30/06/2012	Modification
COBS14.2.17	Legal and General Assurance Society Limited	117659	01/07/2012	30/06/2014	Modification
COBS14.2.17	Legg Mason Investment Funds Limited	172614	26/06/2012	30/06/2014	Modification
COBS14.2.17	Link Fund Solutions Limited	119197	19/07/2012	30/06/2014	Modification
COBS14.2.17	Link Fund Solutions Limited	119197	17/03/2014	30/06/2016	Modification
COBS14.2.17	Liontrust Investments Limited	479764	25/06/2012	30/06/2014	Modification
COBS14.2.17	Lloyds Bank PLC	119278	19/03/2013	30/06/2014	Modification
COBS14.2.17	Maitland Institutional Services Ltd	469627	01/07/2012	30/06/2014	Modification
COBS14.2.17	Majedie Asset Management Limited	217329	01/07/2012	30/06/2014	Modification
COBS14.2.17	Majedie Asset Management Limited	217329	17/03/2014	30/06/2016	Modification
COBS14.2.17	Manek Investment Management Limited	185226	11/06/2012	30/06/2014	Modification
COBS14.2.17	Margetts Fund Management Limited	208565	25/06/2012	30/06/2014	Modification

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COBS14.2.17	Margetts Fund Management Limited	208565	26/05/2016	31/12/2017	Modification
COBS14.2.17	Marks and Spencer Unit Trust Management Limited	141662	01/07/2016	31/12/2017	Modification
COBS14.2.17	Marlborough Fund Managers Ltd	141660	17/03/2014	30/06/2016	Modification
COBS14.2.17	Marlborough Fund Managers Ltd	141660	11/06/2012	30/06/2014	Modification
COBS14.2.17	McInroy & Wood Portfolios Limited	144205	18/06/2012	30/06/2014	Modification
COBS14.2.17	Miton Trust Managers Limited	220241	29/06/2012	30/06/2014	Modification
COBS14.2.17	Morgan Stanley Private Wealth Management Limited	497620	28/06/2012	30/06/2014	Modification
COBS14.2.17	MT Fund Management Limited	175592	10/04/2014	30/06/2016	Modification
COBS14.2.17	N.F.U. Mutual Unit Managers Limited	121922	01/07/2012	30/06/2014	Modification
COBS14.2.17	N.F.U. Mutual Unit Managers Limited	121922	17/04/2012	30/06/2012	Modification
COBS14.2.17	N.F.U. Mutual Unit Managers Limited	121922	25/04/2014	30/06/2016	Modification
COBS14.2.17	NatWest Markets Plc	121882	28/06/2012	30/06/2014	Modification
COBS14.2.17	NatWest Markets Plc	121882	19/06/2014	30/06/2016	Modification
COBS14.2.17	NFU Mutual Select Investments Limited	582519	10/12/2012	30/06/2014	Modification
COBS14.2.17	NFU Mutual Select Investments Limited	582519	25/04/2014	30/06/2016	Modification
COBS14.2.17	Old Mutual Wealth Limited	165359	29/06/2012	30/06/2014	Modification
COBS14.2.17	Premier Portfolio Managers Limited	122067	08/08/2012	30/06/2014	Modification
COBS14.2.17	Premier Portfolio Managers Limited	122067	01/05/2014	30/06/2016	Modification
COBS14.2.17	Querns Asset Managers LLP	516255	25/06/2012	30/06/2014	Modification
COBS14.2.17	Quilter Cheviot Limited	124259	27/06/2012	30/06/2014	Modification
COBS14.2.17	RBS Asset Management (ACD) Ltd	437090	25/08/2016	31/12/2017	Modification
COBS14.2.17	RBS Asset Management (ACD) Ltd	437090	19/06/2014	30/06/2016	Modification
COBS14.2.17	RBS Collective Investment Funds Limited	122139	19/06/2014	30/06/2016	Modification
COBS14.2.17	Redmayne-Bentley LLP	499510	01/07/2012	30/06/2014	Modification
COBS14.2.17	Redmayne-Bentley LLP	499510	21/05/2014	30/06/2016	Modification
COBS14.2.17	Redmayne-Bentley LLP	499510	19/03/2012	30/06/2012	Modification
COBS14.2.17	Reech REIM LLP	463603	25/06/2012	30/06/2014	Modification
COBS14.2.17	River and Mercantile Asset Management LLP	453087	16/04/2014	30/06/2016	Modification
COBS14.2.17	River and Mercantile Asset Management LLP	453087	12/06/2012	30/06/2014	Modification
COBS14.2.17	Rothschild Private Fund Management Ltd	230182	14/06/2012	30/06/2014	Modification

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COBS14.2.17	Sand Aire Limited	177030	21/01/2015	30/06/2016	Modification
COBS14.2.17	Sand Aire Limited	177030	28/06/2012	30/06/2014	Modification
COBS14.2.17	Santander Asset Management UK Limited	122491	09/04/2014	30/06/2016	Modification
COBS14.2.17	Santander Asset Management UK Limited	122491	29/06/2012	30/06/2014	Modification
COBS14.2.17	Santander ISA Managers Limited	171448	08/04/2014	30/06/2016	Modification
COBS14.2.17	Santander ISA Managers Limited	171448	29/06/2012	30/06/2012	Modification
COBS14.2.17	Scottish Friendly Asset Managers Limited	188832	12/06/2012	30/06/2014	Modification
COBS14.2.17	Scottish Widows Unit Trust Managers Limited	122129	13/05/2013	30/06/2014	Modification
COBS14.2.17	Scottish Widows Unit Trust Managers Limited	122129	23/05/2014	30/06/2016	Modification
COBS14.2.17	SLTM Limited	119366	22/06/2012	30/06/2014	Modification
COBS14.2.17	Smith & Williamson Financial Services Limited	180563	23/05/2014	30/06/2016	Modification
COBS14.2.17	Smith & Williamson Financial Services Limited	180563	25/07/2012	30/06/2014	Modification
COBS14.2.17	Smith & Williamson Fund Administration Limited	122401	17/03/2014	30/06/2016	Modification
COBS14.2.17	Smith & Williamson Fund Administration Limited	122401	11/10/2012	30/06/2014	Modification
COBS14.2.17	Smith & Williamson Investment Management LLP	580531	22/04/2014	30/06/2016	Modification
COBS14.2.17	Smith & Williamson Investment Services Limited	131816	27/06/2012	30/06/2012	Modification
COBS14.2.17	SMT FUND SERVICES (UK) LIMITED	506492	22/06/2012	30/06/2014	Modification
COBS14.2.17	St James's Place Investment Administration Limited	622916	16/07/2015	30/06/2016	Modification
COBS14.2.17	St. James's Place Unit Trust Group Limited	122472	08/06/2012	30/06/2014	Modification
COBS14.2.17	St. James's Place Unit Trust Group Limited	122472	23/05/2014	30/06/2016	Modification
COBS14.2.17	Standard Life Assurance Limited	439567	06/03/2012	30/06/2012	Modification
COBS14.2.17	Standard Life Assurance Limited	439567	01/07/2012	30/06/2014	Modification
COBS14.2.17	Standard Life Client Management Limited	435970	01/07/2012	30/06/2014	Modification
COBS14.2.17	Standard Life Client Management Limited	435970	17/03/2014	30/06/2016	Modification
COBS14.2.17	Standard Life Client Management Limited	435970	06/03/2012	30/06/2012	Modification
COBS14.2.17	Standard Life Investments (Mutual Funds) Limited	146477	22/06/2012	30/06/2014	Modification
COBS14.2.17	Standard Life Investments (Mutual Funds) Limited	146477	05/06/2014	30/06/2016	Modification
COBS14.2.17	Standard Life Savings Limited	188796	06/03/2012	30/06/2012	Modification
COBS14.2.17	Standard Life Savings Limited	188796	17/03/2014	30/06/2016	Modification
COBS14.2.17	Standard Life Savings Limited	188796	01/07/2012	30/06/2014	Modification

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COBS14.2.17	SVM Asset Management Limited	146873	12/06/2012	30/06/2012	Modification
COBS14.2.17	T. Bailey Fund Services Limited	190293	14/06/2012	30/06/2014	Modification
COBS14.2.17	T. Bailey Fund Services Limited	190293	20/05/2014	30/06/2016	Modification
COBS14.2.17	T. Bailey Fund Services Limited	190293	02/05/2012	14/06/2012	Modification
COBS14.2.17	The Royal Bank of Scotland Plc	114724	26/05/2016	31/12/2017	Modification
COBS14.2.17	The Share Centre Limited	146768	18/06/2012	30/06/2014	Modification
COBS14.2.17	Threadneedle Investment Services Limited	190437	21/02/2012	30/06/2012	Modification
COBS14.2.17	Tilney Investment Management	124255	19/06/2014	30/06/2016	Modification
COBS14.2.17	Tilney Investment Management	124255	14/06/2012	30/06/2014	Modification
COBS14.2.17	Tunbridge Wells Equitable Friendly Society Ltd	109990	15/06/2012	30/06/2014	Modification
COBS14.2.17	Walker Crips Stockbrokers Ltd	226344	26/05/2016	31/12/2017	Modification
COBS14.2.17	Walker Crips Stockbrokers Ltd	226344	27/06/2014	30/06/2016	Modification
COBS14.2.17	Walker Crips Stockbrokers Ltd	226344	14/06/2012	30/06/2014	Modification
COBS14.2.17	Walker Crips Wealth Management Limited	114778	14/06/2012	30/06/2014	Modification
COBS14.2.17	Walker Crips Wealth Management Limited	114778	27/06/2014	30/06/2014	Modification
COBS14.2.17	WAY Fund Managers Limited	194147	23/05/2014	30/06/2016	Modification
COBS14.2.17	WAY Fund Managers Limited	194147	22/06/2012	30/06/2014	Modification
COBS14.2.17	Williams de Broe Limited	149148	14/06/2012	30/06/2014	Modification
COBS14.2.17	Woolwich Plan Managers Limited	183887	01/07/2012	30/06/2014	Modification
COBS14.2.17	Woolwich Plan Managers Limited	183887	27/03/2014	30/06/2016	Modification
COBS14.2.17	Woolwich Plan Managers Limited	183887	06/03/2012	30/06/2012	Modification
COBS14.2.17	Zedra Trust Company (UK) Limited	119184	01/07/2012	30/06/2014	Modification
COBS14.2.17	Zedra Trust Company (UK) Limited	119184	27/03/2014	30/06/2016	Modification
COBS14.2.17 (2)	City Financial Investment Company Limited	189302	06/06/2014	30/06/2016	Waiver
COBS14.2.17 (2)	Marlborough Fund Managers Ltd	141660	20/02/2012	30/06/2012	Modification
COBS14.2.17 (2R)	Deutsche Asset Management (UK) Limited	429806	27/06/2014	30/06/2016	Modification
COBS14.2.17 (R)	EdenTree Investment Management Limited	527473	14/10/2016	31/12/2017	Modification
COBS14.2.17 (R)	Barclays Asset Management Limited	505543	07/07/2016	31/12/2017	Modification
COBS14.2.17 (R)	Barclays Bank Plc	122702	07/07/2016	31/12/2017	Modification
COBS14.2.17 (R)	BARCLAYS INVESTMENT SOLUTIONS LIMITED	155595	07/07/2016	31/12/2017	Modification

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COBS14.2.17 (R)	Barclays Stockbrokers Limited	124247	07/07/2016	31/12/2018	Modification
COBS14.2.17 (R)	Gerrard Financial Planning Ltd	134157	07/07/2016	31/12/2017	Modification
COBS14.2.17 (R)	HSBC Bank Plc	114216	01/07/2016	31/12/2017	Modification
COBS14.2.17 (R)	Link Fund Solutions Limited	119197	01/07/2016	31/12/2017	Modification
COBS14.2.17 (R)	Santander ISA Managers Limited	171448	01/07/2016	31/12/2017	Modification
COBS14.2.17 (R)	St. James's Place Wealth Management Plc	195351	16/07/2015	30/06/2016	Modification
COBS14.2.17 (R)	Standard Life Assurance Limited	439567	07/06/2016	31/12/2017	Modification
COBS14.2.17 (R)	Standard Life Client Management Limited	435970	07/06/2016	31/12/2017	Modification
COBS14.2.17 (R)	Standard Life Savings Limited	188796	07/06/2016	31/12/2017	Modification
COBS14.2.17 (R)	Woolwich Plan Managers Limited	183887	07/07/2016	31/12/2017	Modification
COBS14.2.17 (R)	Zedra Trust Company (UK) Limited	119184	07/07/2016	31/12/2017	Modification
COBS20.2.19	Countrywide Assured Plc	141916	28/12/2016	27/12/2021	Modification
COBS20.2.20	Countrywide Assured Plc	141916	31/12/2011	30/12/2013	Modification
COBS20.2.20	Phoenix Life Limited	110418	13/03/2013	12/03/2016	Modification
COBS20.2.20	Phoenix Life Limited	110418	15/02/2011	31/01/2013	Modification
COBS20.2.20	Phoenix Life Limited	110418	29/12/2010	31/01/2013	Modification
COBS20.2.23	Liverpool Victoria Friendly Society Limited	110035	01/06/2016	31/05/2027	Waiver
COBS20.2.53	Aviva Life & Pensions UK Limited	185896	01/01/2015	30/09/2015	Waiver
COBS20.2.53	Legal and General Assurance Society Limited	117659	31/01/2015	01/04/2016	Modification
COBS20.2.53	The Standard Life Assurance Company 2006	110464	01/11/2007	31/10/2008	Waiver
COBS20.2.53	The Standard Life Assurance Company 2006	110464	15/10/2008	14/10/2011	Waiver
COBS20.2.53	The Standard Life Assurance Company 2006	110464	05/10/2014	04/10/2017	Waiver
COBS20.2.53	The Standard Life Assurance Company 2006	110464	01/09/2017	31/08/2020	Waiver
COBS20.2.53	The Standard Life Assurance Company 2006	110464	05/10/2011	04/10/2014	Waiver
<b>COBS20.2.53</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS14.2.10G	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.2.10G	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.2.10G	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS14.2.14R	EdenTree Investment Management Limited	527473	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Aberdeen Fund Managers Limited	121803	01/07/2016	31/12/2018	Modification

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COBS14.2.14R	Alpha Real Capital LLP	436048	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Aviva Investors UK Fund Services Limited	119310	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Baring Fund Managers Limited	119187	01/07/2016	31/12/2018	Modification
COBS14.2.14R	BMO Fund Management Limited	121940	01/07/2016	31/12/2018	Modification
COBS14.2.14R	BNY Mellon Fund Managers Limited	122007	04/07/2016	31/12/2018	Modification
COBS14.2.14R	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Courtiers Asset Management Limited	616322	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.2.14R	Friends Life Funds Limited	629488	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Fundrock Partners Limited	469278	01/07/2016	31/12/2018	Modification
COBS14.2.14R	HBOS Investment Fund Managers Limited	119223	16/06/2016	31/12/2016	Modification
COBS14.2.14R	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Host Capital Limited	429093	01/07/2016	31/12/2018	Modification
COBS14.2.14R	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2018	Modification
COBS14.2.14R	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS14.2.14R	HSBC Investment Funds of Funds	407802	30/06/2014	30/06/2016	Modification
COBS14.2.14R	HSBC Openfunds	457011	30/06/2014	30/06/2016	Modification
COBS14.2.14R	Investment Fund Services Ltd	464193	01/07/2016	31/12/2018	Modification
COBS14.2.14R	JPMorgan Funds Limited	119346	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Kames Capital plc	144267	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.2.14R	Link Fund Solutions Limited	119197	01/07/2016	31/12/2018	Modification
COBS14.2.14R	M & G Securities Limited	122057	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Maitland Institutional Services Ltd	469627	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Man Managed Funds ICVC	465345	30/06/2014	30/06/2016	Modification
COBS14.2.14R	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2018	Modification
COBS14.2.14R	MT Capital Management Limited	623887	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Partners Group (UK) Ltd	401307	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2018	Modification

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COBS14.2.14R	Quilter Investors Limited	208543	01/07/2016	31/12/2018	Modification
COBS14.2.14R	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS14.2.14R	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS14.2.14R	Royal London Unit Trust Managers Limited	144037	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Sarasin Investment Funds Limited	122244	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Scottish Widows Unit Trust Managers Limited	122129	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2017	Modification
COBS14.2.14R	St. James's Place Unit Trust Group Limited	122472	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Standard Life Investments (Mutual Funds) Limited	146477	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Stonehage Fleming Investment Management Limited	194382	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Threadneedle Investment Services Limited	190437	01/07/2016	31/12/2018	Modification
COBS14.2.14R	Zurich Investment Services (UK) Limited	628981	01/07/2016	31/12/2018	Modification
COBS14.2.16R	Aberforth Unit Trust Managers Ltd	146788	06/06/2016	31/12/2017	Modification
COBS14.2.16R	Alliance Trust Savings Limited	116115	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Alliance Trust Savings Limited	116115	29/05/2014	30/06/2016	Modification
COBS14.2.16R	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Baillie Gifford Overseas Limited	121818	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Baillie Gifford Overseas Limited	121818	28/04/2014	30/06/2016	Modification
COBS14.2.16R	Baring Fund Managers Limited	119187	01/07/2016	31/12/2017	Modification
COBS14.2.16R	BMO Fund Management Limited	121940	01/07/2016	31/12/2017	Modification
COBS14.2.16R	BNY Mellon Fund Managers Limited	122007	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Brewin Dolphin Limited	124444	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Charles Stanley & Co Ltd	124412	01/07/2016	31/12/2017	Modification
COBS14.2.16R	CHARLES STANLEY INVESTMENT CHOICES LIMITED	114956	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Clerical Medical Investment Fund Managers Ltd	171278	08/06/2016	31/12/2017	Modification
COBS14.2.16R	Cofunds Limited	194734	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Hargreaves Lansdown Asset Management Limited	115248	01/07/2016	31/12/2017	Modification
COBS14.2.16R	HBOS Investment Fund Managers Limited	119223	07/06/2016	31/12/2017	Modification
COBS14.2.16R	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2017	Modification
COBS14.2.16R	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2017	Modification



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COBS14.2.16R	HSBC Private Bank (UK) Limited	124781	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Investec Fund Managers Limited	145007	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Investment Fund Services Ltd	464193	01/07/2016	31/12/2017	Modification
COBS14.2.16R	IWI FUND MANAGEMENT LIMITED	190607	30/05/2014	30/06/2016	Modification
COBS14.2.16R	J M Finn & Co Ltd	450754	01/07/2016	31/12/2017	Modification
COBS14.2.16R	JPMorgan Asset Management Marketing Limited	122754	01/07/2016	31/12/2017	Modification
COBS14.2.16R	JPMorgan Funds Limited	119346	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Kames Capital plc	144267	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Killik & Co LLP	462016	06/06/2016	31/12/2017	Modification
COBS14.2.16R	Lazard Asset Management Limited	121839	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Lazard Fund Managers Limited	122190	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Legal & General (Portfolio Management Services) Ltd	146786	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.2.16R	Legal and General Assurance Society Limited	117659	05/06/2015	30/06/2016	Modification
COBS14.2.16R	Liontrust Investments Limited	479764	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Liontrust Investments Limited	479764	29/05/2014	30/06/2016	Modification
COBS14.2.16R	Majedie Asset Management Limited	217329	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Miton Trust Managers Limited	220241	30/05/2014	30/06/2016	Modification
COBS14.2.16R	MT Capital Management Limited	623887	01/07/2016	31/12/2017	Modification
COBS14.2.16R	MT Capital Management Limited	623887	25/03/2015	30/06/2016	Modification
COBS14.2.16R	Old Mutual Wealth Limited	165359	04/06/2014	30/06/2016	Modification
COBS14.2.16R	Phoenix Unit Trust Managers Limited	651226	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Quilter Investors Limited	208543	21/09/2016	31/12/2017	
COBS14.2.16R	RBS Collective Investment Funds Limited	122139	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Redmayne-Bentley LLP	499510	01/07/2016	31/12/2017	Modification
COBS14.2.16R	River and Mercantile Asset Management LLP	453087	06/06/2016	31/12/2017	Modification
COBS14.2.16R	Santander Asset Management UK Limited	122491	01/07/2016	31/12/2017	Modification

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COBS14.2.16R	Scottish Friendly Asset Managers Limited	188832	06/06/2014	30/06/2016	Modification
COBS14.2.16R	Scottish Friendly Asset Managers Limited	188832	01/07/2016	31/12/2017	Modification
COBS14.2.16R	Scottish Widows Unit Trust Managers Limited	122129	08/06/2016	31/12/2017	Modification
COBS14.2.16R	SLTM Limited	119366	01/07/2016	31/12/2017	Modification
COBS14.2.16R	SLTM Limited	119366	30/05/2014	30/06/2016	Modification
COBS14.2.16R	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2018	Modification
COBS14.2.16R	Smith & Williamson Investment Management LLP	580531	01/07/2016	31/12/2017	Modification
COBS14.2.16R	St James's Place Investment Administration Limited	622916	06/06/2016	31/12/2017	Modification
COBS14.2.16R	St. James's Place Unit Trust Group Limited	122472	06/06/2016	31/12/2017	Modification
COBS14.2.16R	St. James's Place Wealth Management Plc	195351	06/06/2016	31/12/2017	Modification
COBS14.2.16R	T. Bailey Fund Services Limited	190293	07/07/2016	31/12/2017	Modification
COBS14.2.16R (2)	Coutts & Company	122287	26/05/2016	31/12/2017	Modification
COBS14.2.16R (2)	Cowen Execution Services Limited	472780	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Aberforth Unit Trust Managers Ltd	146788	06/06/2016	31/12/2017	Modification
COBS14.2.17R	Alliance Trust Savings Limited	116115	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Alliance Trust Savings Limited	116115	29/05/2014	30/06/2016	Modification
COBS14.2.17R	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Baillie Gifford Overseas Limited	121818	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Baillie Gifford Overseas Limited	121818	28/04/2014	30/06/2016	Modification
COBS14.2.17R	Baring Fund Managers Limited	119187	01/07/2016	31/12/2017	Modification
COBS14.2.17R	BMO Fund Management Limited	121940	01/07/2016	31/12/2017	Modification
COBS14.2.17R	BNY Mellon Fund Managers Limited	122007	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Brewin Dolphin Limited	124444	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Charles Stanley & Co Ltd	124412	01/07/2016	31/12/2017	Modification
COBS14.2.17R	CHARLES STANLEY INVESTMENT CHOICES LIMITED	114956	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Clerical Medical Investment Fund Managers Ltd	171278	08/06/2016	31/12/2017	Modification
COBS14.2.17R	Cofunds Limited	194734	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Hargreaves Lansdown Asset Management Limited	115248	01/07/2016	31/12/2017	Modification

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COBS14.2.17R	HBOS Investment Fund Managers Limited	119223	07/06/2016	31/12/2017	Modification
COBS14.2.17R	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2017	Modification
COBS14.2.17R	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2017	Modification
COBS14.2.17R	HSBC Private Bank (UK) Limited	124781	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Investec Fund Managers Limited	145007	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Investment Fund Services Ltd	464193	01/07/2016	31/12/2017	Modification
COBS14.2.17R	IWI FUND MANAGEMENT LIMITED	190607	30/05/2014	30/06/2016	Modification
COBS14.2.17R	J M Finn & Co Ltd	450754	01/07/2016	31/12/2017	Modification
COBS14.2.17R	JPMorgan Asset Management Marketing Limited	122754	01/07/2016	31/12/2017	Modification
COBS14.2.17R	JPMorgan Funds Limited	119346	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Kames Capital plc	144267	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Killik & Co LLP	462016	06/06/2016	31/12/2017	Modification
COBS14.2.17R	Lazard Asset Management Limited	121839	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Lazard Fund Managers Limited	122190	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Legal & General (Portfolio Management Services) Ltd	146786	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.2.17R	Legal and General Assurance Society Limited	117659	05/06/2015	30/06/2016	Modification
COBS14.2.17R	Liontrust Investments Limited	479764	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Liontrust Investments Limited	479764	29/05/2014	30/06/2016	Modification
COBS14.2.17R	Majedie Asset Management Limited	217329	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Miton Trust Managers Limited	220241	30/05/2014	30/06/2016	Modification
COBS14.2.17R	MT Capital Management Limited	623887	01/07/2016	31/12/2017	Modification
COBS14.2.17R	MT Capital Management Limited	623887	25/03/2015	30/06/2016	Modification
COBS14.2.17R	Old Mutual Wealth Limited	165359	04/06/2014	30/06/2016	Modification
COBS14.2.17R	Phoenix Unit Trust Managers Limited	651226	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Quilter Investors Limited	208543	21/09/2016	31/12/2017	
COBS14.2.17R	RBS Collective Investment Funds Limited	122139	01/07/2016	31/12/2017	Modification

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COBS14.2.17R	Redmayne-Bentley LLP	499510	01/07/2016	31/12/2017	Modification
COBS14.2.17R	River and Mercantile Asset Management LLP	453087	06/06/2016	31/12/2017	Modification
COBS14.2.17R	Scottish Friendly Asset Managers Limited	188832	06/06/2014	30/06/2016	Modification
COBS14.2.17R	Scottish Friendly Asset Managers Limited	188832	01/07/2016	31/12/2017	Modification
COBS14.2.17R	Scottish Widows Unit Trust Managers Limited	122129	08/06/2016	31/12/2017	Modification
COBS14.2.17R	SLTM Limited	119366	01/07/2016	31/12/2017	Modification
COBS14.2.17R	SLTM Limited	119366	30/05/2014	30/06/2016	Modification
COBS14.2.17R	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2018	Modification
COBS14.2.17R	Smith & Williamson Investment Management LLP	580531	01/07/2016	31/12/2017	Modification
COBS14.2.17R	St James's Place Investment Administration Limited	622916	06/06/2016	31/12/2017	Modification
COBS14.2.17R	St. James's Place Unit Trust Group Limited	122472	06/06/2016	31/12/2017	Modification
COBS14.2.17R	St. James's Place Wealth Management Plc	195351	06/06/2016	31/12/2017	Modification
COBS14.2.17R	Standard Life Investments (Mutual Funds) Limited	146477	26/05/2016	31/12/2017	Modification
COBS14.2.17R	T. Bailey Fund Services Limited	190293	07/07/2016	31/12/2017	Modification
COBS14.2.17R (2)	Coutts & Company	122287	26/05/2016	31/12/2017	Modification
COBS14.2.17R (2)	Cowen Execution Services Limited	472780	01/07/2016	31/12/2017	Modification
COBS20.2.19A	Aviva Life & Pensions UK Limited	185896	22/08/2017	22/08/2020	Modification
COBS20.2.19B	Aviva Life & Pensions UK Limited	185896	22/08/2017	22/08/2020	Modification
COBS14.2.1A	EdenTree Investment Management Limited	527473	15/05/2014	30/06/2016	Modification
COBS14.2.1A	Baillie Gifford & Co Limited	119179	29/04/2014	30/06/2016	Modification
COBS14.2.1A	Barclays Asset Management Limited	505543	30/06/2014	30/06/2016	Modification
COBS14.2.1A	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS14.2.1A	Fundrock Partners Limited	469278	23/06/2014	30/06/2016	Modification
COBS14.2.1A	HBOS Investment Fund Managers Limited	119223	21/05/2014	30/06/2016	Modification
COBS14.2.1A	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS14.2.1A	Investment Fund Services Ltd	464193	07/05/2014	30/06/2016	Modification
COBS14.2.1A	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS14.2.1A	M & G Securities Limited	122057	01/05/2014	30/06/2016	Modification
COBS14.2.1A	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.2.1a	Premier Portfolio Managers Limited	122067	30/06/2014	30/06/2016	Modification

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COBS14.2.1A	Prudential Unit Trusts Limited	122008	01/05/2014	30/06/2016	Modification
COBS14.2.1A	Rathbone Unit Trust Management Limited	144266	28/05/2014	30/06/2016	Waiver
COBS14.2.1A	RBS Investment Options ICVC	476834	01/07/2016	31/12/2018	Waiver
COBS14.2.1A	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
COBS14.2.1A	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS14.2.1A	Schroder Unit Trusts Limited	197288	12/05/2014	30/06/2016	Modification
COBS14.2.1A	Scottish Widows Unit Trust Managers Limited	122129	21/05/2014	30/06/2016	Modification
COBS14.2.1A	Seven Investment Management LLP	589124	03/11/2014	30/06/2016	Modification
COBS14.2.1A	Stonehage Fleming Investment Management Limited	194382	12/05/2014	30/06/2016	Modification
COBS14.2.1A	T. Bailey Fund Services Limited	190293	15/05/2014	30/06/2016	Modification
COBS14.2.1A	Threadneedle Investment Services Limited	190437	12/05/2014	30/06/2016	Modification
COBS14.2.1A	True Potential Investments LLP	527444	16/05/2014	30/06/2016	Modification
COBS14.2.1A	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS14.2.1A	Zurich Investment Services (UK) Limited	628981	25/02/2015	30/06/2016	Modification
COBS14.2.1A (R)	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.2.1A (R)	Baillie Gifford & Co	142597	25/04/2014	30/06/2016	Modification
COBS14.2.1A (R)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.2.1A (R)	Novitas Loans Ltd	716962	01/07/2016	14/06/2018	Modification
COBS14.2.1A (R)	Partners Group (UK) Ltd	401307	01/09/2015	30/06/2016	Modification
COBS14.2.1A (R)	Sarasin Investment Funds Limited	122244	11/10/2016	31/12/2018	Modification
COBS14.2.1AR	EdenTree Investment Management Limited	527473	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Aberdeen Fund Managers Limited	121803	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Alpha Real Capital LLP	436048	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Baring Fund Managers Limited	119187	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	BMO Fund Management Limited	121940	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	BNY Mellon Fund Managers Limited	122007	04/07/2016	31/12/2018	Modification
COBS14.2.1AR	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Close Asset Management (UK) Limited	175827	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Courtiers Asset Management Limited	616322	01/07/2016	31/12/2018	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS14.2.1AR	Friends Life Funds Limited	629488	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Fundrock Partners Limited	469278	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	HBOS Investment Fund Managers Limited	119223	16/06/2016	31/12/2016	Modification
COBS14.2.1AR	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Host Capital Limited	429093	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	HSBC Investment Funds of Funds	407802	30/06/2014	30/06/2016	Modification
COBS14.2.1AR	HSBC Openfunds	457011	30/06/2014	30/06/2016	Modification
COBS14.2.1AR	JPMorgan Funds Limited	119346	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Kames Capital plc	144267	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.2.1AR	Link Fund Solutions Limited	119197	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	M & G Securities Limited	122057	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Maitland Institutional Services Ltd	469627	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Man Managed Funds ICVC	465345	30/06/2014	30/06/2016	Modification
COBS14.2.1AR	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Partners Group (UK) Ltd	401307	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Quilter Investors Limited	208543	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS14.2.1AR	Royal London Unit Trust Managers Limited	144037	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Sarasin Investment Funds Limited	122244	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Schroder Unit Trusts Limited	197288	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Scottish Widows Unit Trust Managers Limited	122129	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2017	Modification
COBS14.2.1AR	St. James's Place Unit Trust Group Limited	122472	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Standard Life Investments (Mutual Funds) Limited	146477	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	Stonehage Fleming Investment Management Limited	194382	01/07/2016	31/12/2018	Modification
COBS14.2.1AR	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.2.1AR	Threadneedle Investment Services Limited	190437	01/07/2016	31/12/2018	Modification

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COBS14.2.1AR	Zurich Investment Services (UK) Limited	628981	01/07/2016	31/12/2018	Modification
COBS14.2.1R	EdenTree Investment Management Limited	527473	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Alpha Real Capital LLP	436048	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Aviva Investors UK Fund Services Limited	119310	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Baillie Gifford & Co	142597	25/04/2014	30/06/2016	Modification
COBS14.2.1R	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Baring Fund Managers Limited	119187	01/07/2016	31/12/2018	Modification
COBS14.2.1R	BMO Fund Management Limited	121940	01/07/2016	31/12/2018	Modification
COBS14.2.1R	BNY Mellon Fund Managers Limited	122007	04/07/2016	31/12/2018	Modification
COBS14.2.1R	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Close Asset Management (UK) Limited	175827	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Courtiers Asset Management Limited	616322	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Friends Life Funds Limited	629488	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Fundrock Partners Limited	469278	01/07/2016	31/12/2018	Modification
COBS14.2.1R	HBOS Investment Fund Managers Limited	119223	16/06/2016	31/12/2016	Modification
COBS14.2.1R	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Host Capital Limited	429093	01/07/2016	31/12/2018	Modification
COBS14.2.1R	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2018	Modification
COBS14.2.1R	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS14.2.1R	HSBC Investment Funds of Funds	407802	30/06/2014	30/06/2016	Modification
COBS14.2.1R	HSBC Openfunds	457011	30/06/2014	30/06/2016	Modification
COBS14.2.1R	Investment Fund Services Ltd	464193	01/07/2016	31/12/2018	Modification
COBS14.2.1R	JPMorgan Funds Limited	119346	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Kames Capital plc	144267	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS14.2.1R	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.2.1R	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS14.2.1R	Link Fund Solutions Limited	119197	01/07/2016	31/12/2018	Modification
COBS14.2.1R	M & G Securities Limited	122057	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Maitland Institutional Services Ltd	469627	01/07/2016	31/12/2018	Modification

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COBS14.2.1R	Man Managed Funds ICVC	465345	30/06/2014	30/06/2016	Modification
COBS14.2.1R	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Partners Group (UK) Ltd	401307	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Quilter Investors Limited	208543	01/07/2016	31/12/2018	Modification
COBS14.2.1R	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS14.2.1R	Royal London Unit Trust Managers Limited	144037	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Sarasin Investment Funds Limited	122244	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Scottish Widows Unit Trust Managers Limited	122129	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2017	Modification
COBS14.2.1R	St. James's Place Unit Trust Group Limited	122472	01/07/2016	31/12/2018	Modification
COBS14.2.1R	Stonehage Fleming Investment Management Limited	194382	01/07/2016	31/12/2018	Modification
COBS12.2.1R	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.2.1R	Zurich Investment Services (UK) Limited	628981	01/07/2016	31/12/2018	Modification
COBS20.2.53R	Friends Life Limited	196142	20/04/2017	20/04/2018	Modification
COBS14.2.7R	EdenTree Investment Management Limited	527473	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Alpha Real Capital LLP	436048	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Aviva Investors UK Fund Services Limited	119310	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Baillie Gifford & Co	142597	25/04/2014	30/06/2016	Modification
COBS14.2.7R	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Baring Fund Managers Limited	119187	01/07/2016	31/12/2018	Modification
COBS14.2.7R	BMO Fund Management Limited	121940	01/07/2016	31/12/2018	Modification
COBS14.2.7R	BNY Mellon Fund Managers Limited	122007	04/07/2016	31/12/2018	Modification
COBS14.2.7R	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Close Asset Management (UK) Limited	175827	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Courtiers Asset Management Limited	616322	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Friends Life Funds Limited	629488	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Fundrock Partners Limited	469278	01/07/2016	31/12/2018	Modification
COBS14.2.7R	HBOS Investment Fund Managers Limited	119223	16/06/2016	31/12/2016	Modification



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COBS14.2.7R	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Host Capital Limited	429093	01/07/2016	31/12/2018	Modification
COBS14.2.7R	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2018	Modification
COBS14.2.7R	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS14.2.7R	HSBC Investment Funds of Funds	407802	30/06/2014	30/06/2016	Modification
COBS14.2.7R	HSBC Openfunds	457011	30/06/2014	30/06/2016	Modification
COBS14.2.7R	Investment Fund Services Ltd	464193	01/07/2016	31/12/2018	Modification
COBS14.2.7R	JPMorgan Funds Limited	119346	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Kames Capital plc	144267	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.2.7R	Link Fund Solutions Limited	119197	01/07/2016	31/12/2018	Modification
COBS14.2.7R	M & G Securities Limited	122057	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Maitland Institutional Services Ltd	469627	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Man Managed Funds ICVC	465345	30/06/2014	30/06/2016	Modification
COBS14.2.7R	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Partners Group (UK) Ltd	401307	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Quilter Investors Limited	208543	01/07/2016	31/12/2018	Modification
COBS14.2.7R	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS14.2.7R	Royal London Unit Trust Managers Limited	144037	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Sarasin Investment Funds Limited	122244	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Scottish Widows Unit Trust Managers Limited	122129	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2017	Modification
COBS14.2.7R	St. James's Place Unit Trust Group Limited	122472	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Stonehage Fleming Investment Management Limited	194382	01/07/2016	31/12/2018	Modification
COBS14.2.7R	Zurich Investment Services (UK) Limited	628981	01/07/2016	31/12/2018	Modification
COBS14.2.9A	EdenTree Investment Management Limited	527473	15/05/2014	30/06/2016	Modification
COBS14.2.9A	Baillie Gifford & Co Limited	119179	29/04/2014	30/06/2016	Modification
COBS14.2.9A	Barclays Asset Management Limited	505543	30/06/2014	30/06/2016	Modification
COBS14.2.9A	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification

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COBS14.2.9A	BNY Mellon Fund Managers Limited	122007	04/07/2016	31/12/2018	Modification
COBS14.2.9A	Close Asset Management (UK) Limited	175827	01/07/2016	31/12/2018	Modification
COBS14.2.9A	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.2.9A	Fundrock Partners Limited	469278	23/06/2014	30/06/2016	Modification
COBS14.2.9A	HBOS Investment Fund Managers Limited	119223	21/05/2014	30/06/2016	Modification
COBS14.2.9A	Investment Fund Services Ltd	464193	07/05/2014	30/06/2016	Modification
COBS14.2.9A	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS14.2.9A	M & G Securities Limited	122057	01/05/2014	30/06/2016	Modification
COBS14.2.9A	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.2.9A	Prudential Unit Trusts Limited	122008	01/05/2014	30/06/2016	Modification
COBS14.2.9A	Rathbone Unit Trust Management Limited	144266	28/05/2014	30/06/2016	Waiver
COBS14.2.9A	RBS Investment Options ICVC	476834	01/07/2016	31/12/2018	Waiver
COBS14.2.9A	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS14.2.9A	Schroder Unit Trusts Limited	197288	12/05/2014	30/06/2016	Modification
COBS14.2.9A	Scottish Widows Unit Trust Managers Limited	122129	21/05/2014	30/06/2016	Modification
COBS14.2.9A	Seven Investment Management LLP	589124	03/11/2014	30/06/2016	Modification
COBS14.2.9A	Stonehage Fleming Investment Management Limited	194382	12/05/2014	30/06/2016	Modification
COBS14.2.9A	T. Bailey Fund Services Limited	190293	15/05/2014	30/06/2016	Modification
COBS14.2.9A	Threadneedle Investment Services Limited	190437	12/05/2014	30/06/2016	Modification
COBS14.2.9A	True Potential Investments LLP	527444	16/05/2014	30/06/2016	Modification
COBS14.2.9A	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS14.2.9A	Zurich Investment Services (UK) Limited	628981	25/02/2015	30/06/2016	Modification
COBS14.2.9A (R)	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.2.9A (R)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.2.9A (R)	Novitas Loans Ltd	716962	01/07/2016	14/06/2018	Modification
COBS14.2.9A (R)	Partners Group (UK) Ltd	401307	01/09/2015	30/06/2016	Modification
COBS14.2.9AR	EdenTree Investment Management Limited	527473	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Aberdeen Fund Managers Limited	121803	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Alpha Real Capital LLP	436048	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Aviva Investors UK Fund Services Limited	119310	01/07/2016	31/12/2018	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS14.2.9AR	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Baring Fund Managers Limited	119187	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	BMO Fund Management Limited	121940	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	BNY Mellon Fund Managers Limited	122007	04/07/2016	31/12/2018	Modification
COBS14.2.9AR	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Close Asset Management (UK) Limited	175827	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Courtiers Asset Management Limited	616322	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Friends Life Funds Limited	629488	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Fundrock Partners Limited	469278	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	HBOS Investment Fund Managers Limited	119223	16/06/2016	31/12/2016	Modification
COBS14.2.9AR	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Host Capital Limited	429093	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS14.2.9AR	HSBC Investment Funds of Funds	407802	30/06/2014	30/06/2016	Modification
COBS14.2.9AR	HSBC Openfunds	457011	30/06/2014	30/06/2016	Modification
COBS14.2.9AR	Investment Fund Services Ltd	464193	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	JPMorgan Funds Limited	119346	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Kames Capital plc	144267	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.2.9AR	Link Fund Solutions Limited	119197	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	M & G Securities Limited	122057	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Maitland Institutional Services Ltd	469627	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Man Managed Funds ICVC	465345	30/06/2014	30/06/2016	Modification
COBS14.2.9AR	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	MT Capital Management Limited	623887	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Partners Group (UK) Ltd	401307	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Quilter Investors Limited	208543	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS14.2.9AR	Royal London Unit Trust Managers Limited	144037	01/07/2016	31/12/2018	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS14.2.9AR	Sarasin Investment Funds Limited	122244	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Scottish Widows Unit Trust Managers Limited	122129	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2017	Modification
COBS14.2.9AR	St. James's Place Unit Trust Group Limited	122472	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Standard Life Investments (Mutual Funds) Limited	146477	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Stonehage Fleming Investment Management Limited	194382	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.2.9AR	Threadneedle Investment Services Limited	190437	01/07/2016	31/12/2018	Modification
COBS14.2.9AR	Zurich Investment Services (UK) Limited	628981	01/07/2016	31/12/2018	Modification
COBS14.2.9R	EdenTree Investment Management Limited	527473	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Aberdeen Fund Managers Limited	121803	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Alpha Real Capital LLP	436048	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Aviva Investors UK Fund Services Limited	119310	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.2.9R	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Baring Fund Managers Limited	119187	01/07/2016	31/12/2018	Modification
COBS14.2.9R	BMO Fund Management Limited	121940	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Courtiers Asset Management Limited	616322	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.2.9R	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.2.9R	Friends Life Funds Limited	629488	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Fundrock Partners Limited	469278	01/07/2016	31/12/2018	Modification
COBS14.2.9R	HBOS Investment Fund Managers Limited	119223	16/06/2016	31/12/2016	Modification
COBS14.2.9R	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Host Capital Limited	429093	01/07/2016	31/12/2018	Modification
COBS14.2.9R	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2018	Modification
COBS14.2.9R	HSBC Investment Funds of Funds	407802	30/06/2014	30/06/2016	Modification
COBS14.2.9R	HSBC Openfunds	457011	30/06/2014	30/06/2016	Modification
COBS14.2.9R	Investment Fund Services Ltd	464193	01/07/2016	31/12/2018	Modification

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COBS14.2.9R	JPMorgan Funds Limited	119346	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Kames Capital plc	144267	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.2.9R	Link Fund Solutions Limited	119197	01/07/2016	31/12/2018	Modification
COBS14.2.9R	M & G Securities Limited	122057	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Maitland Institutional Services Ltd	469627	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Man Managed Funds ICVC	465345	30/06/2014	30/06/2016	Modification
COBS14.2.9R	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2018	Modification
COBS14.2.9R	MT Capital Management Limited	623887	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Partners Group (UK) Ltd	401307	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Quilter Investors Limited	208543	01/07/2016	31/12/2018	Modification
COBS14.2.9R	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS14.2.9R	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS14.2.9R	Royal London Unit Trust Managers Limited	144037	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Sarasin Investment Funds Limited	122244	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Scottish Widows Unit Trust Managers Limited	122129	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2017	Modification
COBS14.2.9R	St. James's Place Unit Trust Group Limited	122472	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Standard Life Investments (Mutual Funds) Limited	146477	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Stonehage Fleming Investment Management Limited	194382	01/07/2016	31/12/2018	Modification
COBS14.2.9R	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.2.9R	Threadneedle Investment Services Limited	190437	01/07/2016	31/12/2018	Modification
COBS14.2.9R	Zurich Investment Services (UK) Limited	628981	01/07/2016	31/12/2018	Modification
COBS13.3	Link Fund Solutions Limited	119197	05/01/2016	31/10/2016	Modification
COBS20.3	Standard Life Pension Funds Limited	110466	01/11/2007	31/10/2008	Waiver
COBS20.3	Standard Life Pension Funds Limited	110466	15/10/2008	14/10/2011	Waiver
COBS20.3	Standard Life Pension Funds Limited	110466	05/10/2011	04/10/2014	Waiver
COBS20.3	The Standard Life Assurance Company 2006	110464	01/11/2007	31/10/2008	Waiver
COBS20.3	The Standard Life Assurance Company 2006	110464	15/10/2008	14/10/2011	Waiver

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COBS20.3	The Standard Life Assurance Company 2006	110464	05/10/2014	04/10/2017	Waiver
COBS20.3	The Standard Life Assurance Company 2006	110464	01/09/2017	31/08/2020	Waiver
COBS20.3	The Standard Life Assurance Company 2006	110464	05/10/2011	04/10/2014	Waiver
COBS21.3.1	Paternoster UK Ltd	448609	21/06/2007	20/06/2012	Modification
COBS21.3.1	ReAssure Limited	110495	31/12/2014	01/01/2016	Modification
COBS20.3.1	Standard Life Pension Funds Limited	110466	05/10/2014	15/06/2015	Modification
COBS21.3.1	UBS Asset Management Life Ltd	186527	02/07/2014	01/07/2019	Modification
COBS21.3.1 (1)	Legal and General Assurance Society Limited	117659	06/11/2007	31/10/2008	Modification
COBS21.3.1 (2)	MetLife Europe d.a.c.	456829	04/04/2008	03/04/2013	Modification
COBS21.3.1 (2)	The Prudential Assurance Company Limited	139793	05/03/2014	08/02/2016	Modification
COBS21.3.1 (2)	The Prudential Assurance Company Limited	139793	08/02/2011	08/02/2016	Modification
COBS21.3.1 (2)	UBS Asset Management (UK) Ltd	119319	24/12/2008	31/03/2014	Modification
COBS21.3.1 (2)	UBS Asset Management Life Ltd	186527	24/12/2008	31/03/2014	Modification
<b>COBS20.3.1 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS6.3.4	Sesame Limited	150427	10/09/2007	11/01/2008	Modification
COBS20.3.4	Standard Life Pension Funds Limited	110466	05/10/2014	15/06/2015	Modification
<b>COBS20.3.4 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS21.3.5	ReAssure Limited	110495	31/12/2014	01/01/2016	Modification
COBS20.3.5	Standard Life Pension Funds Limited	110466	05/10/2014	15/06/2015	Modification
COBS21.3.5 (1)	ReAssure Limited	110495	10/07/2012	01/01/2014	Modification
COBS21.3.5 (1)	ReAssure Limited	110495	31/12/2013	01/01/2015	Modification
<b>COBS20.3.5 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS20.3.6	Standard Life Pension Funds Limited	110466	05/10/2014	15/06/2015	Modification
<b>COBS20.3.6 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS14.3.7	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS14.3.7	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.3.7	HSBC Global Asset Management (UK) Limited	122335	31/05/2012	30/06/2014	Modification
COBS14.3.7	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.3.7	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS14.3.7	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification

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COBS14.3.7	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS14.3.7 (G)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.3.7 (G)	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.3.11	Aberdeen Fund Managers Limited	121803	22/03/2012	30/06/2014	Modification
COBS14.3.11	Aberdeen Fund Managers Limited	121803	28/03/2014	30/06/2016	Modification
COBS14.3.11	Alpha Real Capital LLP	436048	11/11/2013	20/06/2014	Modification
COBS14.3.11	Architas Multi-Manager Limited	477328	25/11/2011	30/06/2014	Modification
COBS14.3.11	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS14.3.11	AXA Investment Managers UK Ltd	119368	08/04/2014	30/06/2016	Modification
COBS14.3.11	Baillie Gifford & Co Limited	119179	17/02/2012	30/06/2014	Modification
COBS14.3.11	BMO Fund Management Limited	121940	15/06/2012	30/06/2014	Modification
COBS14.3.11	Carvetian Capital Management Limited	530809	17/02/2012	30/06/2014	Modification
COBS14.3.11	City Financial Investment Company Limited	189302	09/07/2012	30/06/2014	Modification
COBS14.3.11	FIL Investment Services (UK) Limited	121939	31/01/2012	30/06/2014	Modification
COBS14.3.11	FIL Investment Services (UK) Limited	121939	08/04/2014	30/06/2016	Modification
COBS14.3.11	Fundrock Partners Limited	469278	22/08/2012	30/06/2014	Modification
COBS14.3.11	HBOS Investment Fund Managers Limited	119223	30/05/2012	30/06/2014	Modification
COBS14.3.11	Henderson Investment Funds Limited	121859	25/06/2012	30/06/2014	Modification
COBS14.3.11	Host Capital Limited	429093	15/10/2012	30/06/2014	Modification
COBS14.3.11	HSBC Global Asset Management (UK) Limited	122335	31/05/2012	30/06/2014	Modification
COBS14.3.11	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS14.3.11	HSBC Investment Funds of Funds	407802	30/06/2014	30/06/2016	Modification
COBS14.3.11	HSBC Openfunds	457011	30/06/2014	30/06/2016	Modification
COBS14.3.11	Ignis Fund Managers Limited	122188	05/04/2012	30/06/2014	Modification
COBS14.3.11	Ignis Fund Managers Limited	122188	07/11/2014	30/06/2016	Modification
COBS14.3.11	Insight Investment Funds Management Ltd	122259	09/03/2012	30/06/2014	Modification
COBS14.3.11	JPMorgan Funds Limited	119346	17/04/2014	30/06/2016	Modification
COBS14.3.11	JPMorgan Funds Limited	119346	06/03/2012	30/06/2014	Modification
COBS14.3.11	Jupiter Unit Trust Managers Limited	122488	13/02/2013	30/06/2014	Modification
COBS14.3.11	Jupiter Unit Trust Managers Limited	122488	28/03/2014	30/06/2016	Modification

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COBS14.3.11	Kames Capital plc	144267	21/02/2014	30/06/2014	Modification
COBS14.3.11	Legal & General (Unit Trust Managers) Limited	119273	02/03/2012	30/06/2014	Modification
COBS14.3.11	Link Fund Solutions Limited	119197	30/05/2012	30/06/2014	Modification
COBS14.3.11	M & G Securities Limited	122057	06/12/2011	30/06/2014	Modification
COBS14.3.11	Maitland Institutional Services Ltd	469627	17/04/2014	30/06/2016	Modification
COBS14.3.11	Man Managed Funds ICVC	465345	08/02/2012	30/06/2014	Modification
COBS14.3.11	Margetts Fund Management Limited	208565	11/01/2013	30/06/2014	Modification
COBS14.3.11	Marlborough Fund Managers Ltd	141660	27/03/2012	30/06/2014	Modification
COBS14.3.11	Marlborough Fund Managers Ltd	141660	30/06/2014	30/06/2016	Modification
COBS14.3.11	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS14.3.11	Premier Portfolio Managers Limited	122067	18/05/2012	30/06/2014	Modification
COBS14.3.11	Prudential Unit Trusts Limited	122008	01/05/2014	30/06/2016	Modification
COBS14.3.11	Prudential Unit Trusts Limited	122008	06/12/2011	30/06/2014	Modification
COBS14.3.11	Quilter Investors Limited	208543	09/04/2014	30/06/2016	Modification
COBS14.3.11	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification
COBS14.3.11	Rathbone Unit Trust Management Limited	144266	17/02/2012	30/06/2014	Modification
COBS14.3.11	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
COBS14.3.11	Sand Aire Limited	177030	26/01/2015	30/06/2016	Modification
COBS14.3.11	Santander Asset Management UK Limited	122491	08/04/2014	30/06/2014	Modification
COBS14.3.11	Sarasin Investment Funds Limited	122244	31/01/2012	30/06/2014	Modification
COBS14.3.11	Schroder Unit Trusts Limited	197288	22/09/2011	30/06/2014	Modification
COBS14.3.11	Scottish Widows Unit Trust Managers Limited	122129	30/05/2012	30/06/2014	Modification
COBS14.3.11	Smith & Williamson Fund Administration Limited	122401	09/04/2014	30/06/2016	Modification
COBS14.3.11	Smith & Williamson Fund Administration Limited	122401	06/01/2014	30/06/2014	Modification
COBS14.3.11	SMT FUND SERVICES (UK) LIMITED	506492	12/06/2012	30/06/2012	Modification
COBS14.3.11	Standard Life Investments (Mutual Funds) Limited	146477	29/08/2012	30/06/2014	Modification
COBS14.3.11	THESIS Unit Trust Management Limited	186882	15/07/2011	30/06/2014	Modification
COBS14.3.11	Threadneedle Investment Services Limited	190437	19/04/2012	30/06/2014	Modification
COBS14.3.11	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS14.3.11	Vanguard Investments UK, Ltd	494699	08/12/2011	30/06/2014	Modification



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COBS14.3.11	WAY Fund Managers Limited	194147	20/06/2014	30/06/2016	Modification
COBS14.3.11 (AR)	Aberdeen Fund Managers Limited	121803	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Baillie Gifford & Co	142597	25/04/2014	30/06/2016	Modification
COBS14.3.11 (AR)	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Baring Fund Managers Limited	119187	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	BMO Fund Management Limited	121940	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	BNY Mellon Fund Managers Limited	122007	04/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Courtiers Asset Management Limited	616322	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Friends Life Funds Limited	629488	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Fundrock Partners Limited	469278	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	HBOS Investment Fund Managers Limited	119223	16/06/2016	31/12/2016	Modification
COBS14.3.11 (AR)	Investment Fund Services Ltd	464193	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Link Fund Solutions Limited	119197	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	M & G Securities Limited	122057	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Maitland Institutional Services Ltd	469627	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Man Fund Management UK Limited	185916	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Margetts Fund Management Limited	208565	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS14.3.11 (AR)	Sarasin Investment Funds Limited	122244	11/10/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Schroder Unit Trusts Limited	197288	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Scottish Widows Unit Trust Managers Limited	122129	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Stonehage Fleming Investment Management Limited	194382	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	THESIS Unit Trust Management Limited	186882	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Threadneedle Investment Services Limited	190437	01/07/2016	31/12/2018	Modification
COBS14.3.11 (AR)	Tutman LLP	612721	01/07/2016	31/12/2018	Modification

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COBS14.3.12	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS14.3.12	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.3.12	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.3.12	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS14.3.12	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification
COBS14.3.12	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS14.3.12 (G)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.3.12 (G)	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.3.11A	EdenTree Investment Management Limited	527473	15/05/2014	30/06/2016	Modification
COBS14.3.11A	Baillie Gifford & Co Limited	119179	29/04/2014	30/06/2016	Modification
COBS14.3.11A	Barclays Asset Management Limited	505543	30/06/2014	30/06/2016	Modification
COBS14.3.11A	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS14.3.11A	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS14.3.11A	Fundrock Partners Limited	469278	23/06/2014	30/06/2016	Modification
COBS14.3.11A	HBOS Investment Fund Managers Limited	119223	21/05/2014	30/06/2016	Modification
COBS14.3.11A	Investment Fund Services Ltd	464193	07/05/2014	30/06/2016	Modification
COBS14.3.11A	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS14.3.11A	M & G Securities Limited	122057	01/05/2014	30/06/2016	Modification
COBS14.3.11A	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS14.3.11a	Premier Portfolio Managers Limited	122067	30/06/2014	30/06/2016	Modification
COBS14.3.11A	Rathbone Unit Trust Management Limited	144266	28/05/2014	30/06/2016	Waiver
COBS14.3.11A	RBS Investment Options ICVC	476834	01/07/2016	31/12/2018	Waiver
COBS14.3.11A	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification
COBS14.3.11A	Schroder Unit Trusts Limited	197288	12/05/2014	30/06/2016	Modification
COBS14.3.11A	Scottish Widows Unit Trust Managers Limited	122129	21/05/2014	30/06/2016	Modification
COBS14.3.11A	Seven Investment Management LLP	589124	03/11/2014	30/06/2016	Modification
COBS14.3.11A	Stonehage Fleming Investment Management Limited	194382	12/05/2014	30/06/2016	Modification
COBS14.3.11A	T. Bailey Fund Services Limited	190293	15/05/2014	30/06/2016	Modification
COBS14.3.11A	Threadneedle Investment Services Limited	190437	12/05/2014	30/06/2016	Modification
COBS14.3.11A	True Potential Investments LLP	527444	16/05/2014	30/06/2016	Modification

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COBS14.3.11A	Zurich Investment Services (UK) Limited	628981	25/02/2015	30/06/2016	Modification
COBS14.3.11A (R)	EdenTree Investment Management Limited	527473	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Alpha Real Capital LLP	436048	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Aviva Investors UK Fund Services Limited	119310	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.3.11A (R)	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS14.3.11A (R)	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Host Capital Limited	429093	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	JPMorgan Funds Limited	119346	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Kames Capital plc	144267	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.3.11A (r)	Man Managed Funds ICVC	465345	30/06/2014	30/06/2016	Modification
COBS14.3.11A (R)	MT Capital Management Limited	623887	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Novitas Loans Ltd	716962	01/07/2016	14/06/2018	Modification
COBS14.3.11A (R)	Partners Group (UK) Ltd	401307	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Partners Group (UK) Ltd	401307	01/09/2015	30/06/2016	Modification
COBS14.3.11A (R)	Quilter Investors Limited	208543	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Royal London Unit Trust Managers Limited	144037	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Sarasin Investment Funds Limited	122244	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2017	Modification
COBS14.3.11A (R)	St. James's Place Unit Trust Group Limited	122472	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	Standard Life Investments (Mutual Funds) Limited	146477	01/07/2016	31/12/2018	Modification
COBS14.3.11A (R)	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS14.3.11A (R)	Zurich Investment Services (UK) Limited	628981	01/07/2016	31/12/2018	Modification
COBS14.3.12G	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.3.12G	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.3.12G	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS14.3.17R	Santander Asset Management UK Limited	122491	01/07/2016	31/12/2017	Modification

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COBS14.3.1AR	Investment Fund Services Ltd	464193	01/07/2016	31/12/2018	Modification
COBS21.3.1R ((2)	The Prudential Assurance Company Limited	139793	09/01/2018	08/01/2020	Modification
COBS21.3.1R (2)	Phoenix Life Limited	110418	20/04/2015	19/04/2018	Modification
COBS21.3.1R (2)	The Prudential Assurance Company Limited	139793	28/01/2016	27/01/2018	Modification
COBS21.3.1R (2)	The Prudential Assurance Company Limited	139793	09/10/2018	08/01/2020	Modification
COBS14.3.7G	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS14.3.7G	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS14.3.7G	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS13.4	Link Fund Solutions Limited	119197	05/01/2016	31/10/2016	Modification
COBS20.4	Standard Life Pension Funds Limited	110466	01/11/2007	31/10/2008	Waiver
COBS20.4	Standard Life Pension Funds Limited	110466	15/10/2008	14/10/2011	Waiver
COBS20.4	Standard Life Pension Funds Limited	110466	05/10/2011	04/10/2014	Waiver
COBS20.4	The Standard Life Assurance Company 2006	110464	01/11/2007	31/10/2008	Waiver
COBS20.4	The Standard Life Assurance Company 2006	110464	15/10/2008	14/10/2011	Waiver
COBS20.4	The Standard Life Assurance Company 2006	110464	05/10/2014	04/10/2017	Waiver
COBS20.4	The Standard Life Assurance Company 2006	110464	01/09/2017	31/08/2020	Waiver
COBS20.4	The Standard Life Assurance Company 2006	110464	05/10/2011	04/10/2014	Waiver
COBS13.4.1	Aviva Administration Limited	185746	24/11/2011	24/11/2013	Modification
COBS13.4.1	Aviva Administration Limited	185746	25/11/2013	24/11/2015	Modification
COBS13.4.1	Friends Life and Pensions Limited	110414	24/11/2011	24/11/2013	Modification
COBS13.4.1	Friends Life and Pensions Limited	110414	25/11/2013	24/11/2015	Modification
COBS13.4.1	Friends Life Limited	196142	25/11/2013	24/11/2015	Modification
COBS13.4.1	Friends Life Limited	196142	24/11/2011	24/11/2013	Modification
COBS13.4.1	The Prudential Assurance Company Limited	139793	21/10/2011	30/07/2013	Modification
COBS14.4.1	The Share Centre Limited	146768	04/05/2012	31/12/2017	Modification
<b>COBS20.4.1 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS20.4.2	Communication Workers Friendly Society Limited	110024	20/05/2011	01/08/2011	Modification
COBS20.4.2	Legal and General Assurance Society Limited	117659	31/01/2015	01/04/2016	Modification
COBS20.4.2	NM Pensions Limited	207917	28/09/2007	31/01/2008	Modification
COBS20.4.2	Phoenix Life Assurance Limited	117667	31/03/2012	01/10/2012	Modification

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COBS20.4.2	ReAssure Limited	110495	28/09/2007	31/01/2008	Modification
COBS14.4.2	The Share Centre Limited	146768	04/05/2012	31/12/2017	Modification
COBS20.4.2	Wesleyan Assurance Society	110873	10/07/2008	09/10/2008	Modification
COBS20.4.2 (1)	Aviva Life & Pensions UK Limited	185896	22/04/2009	31/10/2009	Waiver
COBS6.4.3	EdenTree Investment Management Limited	527473	15/05/2014	30/06/2016	Modification
COBS6.4.3	Aberdeen Fund Managers Limited	121803	22/03/2012	30/06/2014	Modification
COBS6.4.3	Aberdeen Fund Managers Limited	121803	28/03/2014	30/06/2016	Modification
COBS6.4.3	Alpha Real Capital LLP	436048	16/04/2014	30/06/2016	Modification
COBS6.4.3	Alpha Real Capital LLP	436048	11/11/2013	20/06/2014	Modification
COBS6.4.3	Architas Multi-Manager Limited	477328	16/04/2014	30/06/2016	Modification
COBS6.4.3	Architas Multi-Manager Limited	477328	25/11/2011	30/06/2014	Modification
COBS6.4.3	Aviva Investors UK Fund Services Limited	119310	10/05/2012	30/06/2014	Modification
COBS6.4.3	AXA Investment Managers UK Ltd	119368	08/04/2014	30/06/2016	Modification
COBS6.4.3	Baillie Gifford & Co Limited	119179	17/02/2012	30/06/2014	Modification
COBS6.4.3	Baillie Gifford & Co Limited	119179	29/04/2014	30/06/2016	Modification
COBS6.4.3	Barclays Asset Management Limited	505543	30/06/2014	30/06/2016	Modification
COBS6.4.3	Baring Fund Managers Limited	119187	16/04/2014	30/06/2016	Modification
COBS6.4.3	BARINGS MULTI ASSET INVESTMENT FUNDS	494309	11/11/2011	30/06/2014	Modification
COBS6.4.3	BMO Fund Management Limited	121940	15/06/2012	30/06/2014	Modification
COBS6.4.3	Carvetian Capital Management Limited	530809	17/02/2012	30/06/2014	Modification
COBS6.4.3	FIL Investment Services (UK) Limited	121939	31/01/2012	30/06/2014	Modification
COBS6.4.3	FIL Investment Services (UK) Limited	121939	08/04/2014	30/06/2016	Modification
COBS6.4.3	Fundrock Partners Limited	469278	22/08/2012	30/06/2014	Modification
COBS6.4.3	Fundrock Partners Limited	469278	23/06/2014	30/06/2016	Modification
COBS6.4.3	HBOS Investment Fund Managers Limited	119223	21/05/2014	30/06/2016	Modification
COBS6.4.3	Henderson Investment Funds Limited	121859	25/06/2012	30/06/2014	Modification
COBS6.4.3	Insight Investment Funds Management Ltd	122259	09/03/2012	30/06/2014	Modification
COBS6.4.3	Investment Fund Services Ltd	464193	07/05/2014	30/06/2016	Modification
COBS6.4.3	JPMorgan Funds Limited	119346	17/04/2014	30/06/2016	Modification
COBS6.4.3	Jupiter Unit Trust Managers Limited	122488	28/03/2014	30/06/2016	Modification

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COBS6.4.3	Kames Capital plc	144267	30/06/2014	30/06/2016	Modification
COBS6.4.3	Link Fund Solutions Limited	119197	30/05/2012	30/06/2014	Modification
COBS6.4.3	Liontrust Fund Partners LLP	518165	17/04/2014	30/06/2016	Modification
COBS6.4.3	M & G Securities Limited	122057	01/05/2014	30/06/2016	Modification
COBS6.4.3	M & G Securities Limited	122057	06/12/2011	30/06/2014	Modification
COBS6.4.3	Maitland Institutional Services Ltd	469627	17/04/2014	30/06/2016	Modification
COBS6.4.3	Man Managed Funds ICVC	465345	08/02/2012	30/06/2014	Modification
COBS6.4.3	Margetts Fund Management Limited	208565	01/07/2016	31/12/2018	Modification
COBS6.4.3	Marlborough Fund Managers Ltd	141660	30/06/2014	30/06/2016	Modification
COBS6.4.3	N.F.U. Mutual Unit Managers Limited	121922	04/07/2012	30/06/2014	Modification
COBS6.4.3	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS6.4.3	Premier Portfolio Managers Limited	122067	18/05/2012	30/06/2014	Modification
COBS6.4.3	Premier Portfolio Managers Limited	122067	30/06/2014	30/06/2016	Modification
COBS6.4.3	Prudential Unit Trusts Limited	122008	01/05/2014	30/06/2016	Modification
COBS6.4.3	Prudential Unit Trusts Limited	122008	06/12/2011	30/06/2014	Modification
COBS6.4.3	Quilter Investors Limited	208543	09/04/2014	30/06/2016	Modification
COBS6.4.3	Quilter Investors Limited	208543	15/05/2012	30/06/2014	Modification
COBS6.4.3	Rathbone Unit Trust Management Limited	144266	17/02/2012	30/06/2014	Modification
COBS6.4.3	Rathbone Unit Trust Management Limited	144266	28/05/2014	30/06/2016	Waiver
COBS6.4.3	RBS Investment Options ICVC	476834	01/07/2016	31/12/2018	Waiver
COBS6.4.3	RBS Investment Options ICVC	476834	21/03/2012	30/06/2014	Modification
COBS6.4.3	Santander Asset Management UK Limited	122491	05/02/2014	30/06/2014	Modification
COBS6.4.3	Santander Asset Management UK Limited	122491	08/04/2014	30/06/2014	Modification
COBS6.4.3	Sarasin Investment Funds Limited	122244	23/04/2014	30/06/2016	Modification
COBS6.4.3	Sarasin Investment Funds Limited	122244	31/01/2012	30/06/2014	Modification
COBS6.4.3	Schroder Unit Trusts Limited	197288	22/09/2011	30/06/2014	Modification
COBS6.4.3	Schroder Unit Trusts Limited	197288	12/05/2014	30/06/2016	Modification
COBS6.4.3	Scottish Widows Unit Trust Managers Limited	122129	21/05/2014	30/06/2016	Modification
COBS6.4.3	Smith & Williamson Fund Administration Limited	122401	09/04/2014	30/06/2016	Modification
COBS6.4.3	Smith & Williamson Fund Administration Limited	122401	06/01/2014	30/06/2014	Modification

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COBS6.4.3	SMT FUND SERVICES (UK) LIMITED	506492	12/06/2012	30/06/2012	Modification
COBS6.4.3	St. James's Place Unit Trust Group Limited	122472	12/01/2012	30/06/2014	Modification
COBS6.4.3	St. James's Place Unit Trust Group Limited	122472	16/04/2014	30/06/2016	Modification
COBS6.4.3	Standard Life Investments (Mutual Funds) Limited	146477	29/08/2012	30/06/2014	Modification
COBS6.4.3	Standard Life Investments (Mutual Funds) Limited	146477	23/04/2014	30/06/2016	Modification
COBS6.4.3	Stonehage Fleming Investment Management Limited	194382	12/05/2014	30/06/2016	Modification
COBS6.4.3	T. Bailey Fund Services Limited	190293	15/05/2014	30/06/2016	Modification
COBS6.4.3	T. Bailey Fund Services Limited	190293	10/01/2012	30/06/2014	Modification
COBS14.4.3	The Share Centre Limited	146768	04/05/2012	31/12/2017	Modification
COBS6.4.3	THESIS Unit Trust Management Limited	186882	15/07/2011	30/06/2014	Modification
COBS6.4.3	Threadneedle Investment Services Limited	190437	12/05/2014	30/06/2016	Modification
COBS6.4.3	True Potential Investments LLP	527444	16/05/2014	30/06/2016	Modification
COBS6.4.3	Vanguard Investments UK, Ltd	494699	08/12/2011	30/06/2014	Modification
COBS6.4.3	WAY Fund Managers Limited	194147	20/06/2014	30/06/2016	Modification
COBS6.4.3 (4)	BMO Fund Management Limited	121940	20/08/2014	30/06/2016	Modification
COBS6.4.3 (4)	City Financial Investment Company Limited	189302	09/07/2012	30/06/2014	Modification
COBS6.4.3 (4)	HBOS Investment Fund Managers Limited	119223	30/05/2012	30/06/2014	Modification
COBS6.4.3 (4)	Host Capital Limited	429093	15/10/2012	30/06/2014	Modification
COBS6.4.3 (4)	HSBC Global Asset Management (UK) Limited	122335	31/05/2012	30/06/2014	Modification
COBS6.4.3 (4)	Ignis Fund Managers Limited	122188	05/04/2012	30/06/2014	Modification
COBS6.4.3 (4)	Ignis Fund Managers Limited	122188	07/11/2014	30/06/2016	Modification
COBS6.4.3 (4)	JPMorgan Funds Limited	119346	06/03/2012	30/06/2014	Modification
COBS6.4.3 (4)	Jupiter Unit Trust Managers Limited	122488	13/02/2013	30/06/2014	Modification
COBS6.4.3 (4)	Kames Capital plc	144267	21/02/2014	30/06/2014	Modification
COBS6.4.3 (4)	Legal & General (Unit Trust Managers) Limited	119273	02/03/2012	30/06/2014	Modification
COBS6.4.3 (4)	Margetts Fund Management Limited	208565	11/01/2013	30/06/2014	Modification
COBS6.4.3 (4)	Marlborough Fund Managers Ltd	141660	27/03/2012	30/06/2014	Modification
COBS6.4.3 (4)	MT Capital Management Limited	623887	24/02/2015	30/06/2016	Modification
COBS6.4.3 (4)	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
COBS6.4.3 (4)	Royal London Unit Trust Managers Limited	144037	01/09/2015	30/06/2016	Modification

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COBS6.4.3 (4)	Sand Aire Limited	177030	26/01/2015	30/06/2016	Modification
COBS6.4.3 (4)	Scottish Widows Unit Trust Managers Limited	122129	30/05/2012	30/06/2014	Modification
COBS6.4.3 (4)	Seven Investment Management LLP	589124	03/11/2014	30/06/2016	Modification
COBS6.4.3 (4)	Threadneedle Investment Services Limited	190437	19/04/2012	30/06/2014	Modification
COBS6.4.3 (4)	Tutman LLP	612721	03/10/2014	30/06/2016	Modification
COBS6.4.3 (R)	Close Asset Management (UK) Limited	175827	01/07/2016	31/12/2018	Modification
COBS13.4.4	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS13.4.4	Capita Life & Pensions Regulated Services Limited	145540	01/11/2016	05/04/2017	Modification
COBS13.4.4	Dentons Pension Management Limited	461094	06/04/2015	31/10/2016	Modification
COBS13.4.4	Gaudi Regulated Services Limited	488015	06/04/2015	31/10/2016	Modification
COBS13.4.4	Heritage Pensions Limited	475096	19/12/2016	05/04/2017	Modification
COBS13.4.4	Investec Wealth & Investment Limited	124537	19/12/2016	05/04/2017	Modification
COBS13.4.4	Just Retirement Limited	232595	14/10/2016	05/04/2017	Modification
COBS13.4.4	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS13.4.4	Taylor Patterson Associates Limited	114619	06/04/2015	31/10/2016	Modification
COBS13.4.4	The National Farmers' Union Mutual Insurance Society Limited	117664	06/04/2015	31/10/2016	Modification
COBS14.4.4	The Share Centre Limited	146768	04/05/2012	31/12/2017	Modification
COBS13.4.4	Zurich Assurance Ltd	147672	16/11/2016	05/04/2017	Modification
COBS14.4.5	The Share Centre Limited	146768	04/05/2012	31/12/2017	Modification
COBS20.4.5 (3)	Phoenix Life Assurance Limited	155353	03/09/2008	31/01/2009	Waiver
<b>COBS20.4.5 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS14.4.6	The Share Centre Limited	146768	04/05/2012	31/12/2017	Modification
COBS20.4.7	Homeowners Friendly Society Limited	110072	16/03/2011	30/06/2012	Modification
COBS20.4.7	Sun Life Assurance Company of Canada (U.K.) Limited	110481	28/02/2017	01/07/2017	Modification
COBS14.4.7	The Share Centre Limited	146768	04/05/2012	31/12/2017	Modification
<b>COBS20.4.7 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS6.4.3R	Courtiers Asset Management Limited	616322	15/09/2015	30/06/2016	Modification
COBS6.4.3R	Partners Group (UK) Ltd	401307	01/09/2015	30/06/2016	Modification
COBS6.4.3R	Threadneedle Investment Services Limited	190437	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	EdenTree Investment Management Limited	527473	01/07/2016	31/12/2018	Modification



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COBS6.4.3R (4)	Aberdeen Fund Managers Limited	121803	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Alpha Real Capital LLP	436048	01/07/2016	31/12/2018	Modification
COBS6.4.3r (4)	Architas Multi-Manager Limited	477328	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Aviva Investors UK Fund Services Limited	119310	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Aviva Investors UK Fund Services Limited	119310	05/06/2014	30/06/2016	Modification
COBS6.4.3R (4)	Baillie Gifford & Co	142597	25/04/2014	30/06/2016	Modification
COBS6.4.3R (4)	Baillie Gifford & Co Limited	119179	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Baring Fund Managers Limited	119187	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	BMO Fund Management Limited	121940	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	BNY Mellon Fund Managers Limited	122007	04/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Carvetian Capital Management Limited	530809	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Courtiers Asset Management Limited	616322	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Friends Life Funds Limited	629488	10/06/2015	30/06/2016	Modification
COBS6.4.3R (4)	Friends Life Funds Limited	629488	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Fundrock Partners Limited	469278	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	HBOS Investment Fund Managers Limited	119223	16/06/2016	31/12/2016	Modification
COBS6.4.3R (4)	Henderson Investment Funds Limited	121859	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Host Capital Limited	429093	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	HSBC Global Asset Management (UK) Limited	122335	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	HSBC Global Asset Management (UK) Limited	122335	30/06/2014	30/06/2016	Modification
COBS6.4.3R (4)	HSBC Investment Funds of Funds	407802	30/06/2014	30/06/2016	Modification
COBS6.4.3R (4)	HSBC Openfunds	457011	30/06/2014	30/06/2016	Modification
COBS6.4.3R (4)	Investment Fund Services Ltd	464193	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	JPMorgan Funds Limited	119346	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Kames Capital plc	144267	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Legal & General (Unit Trust Managers) Limited	119273	29/05/2014	30/06/2016	Modification
COBS6.4.3R (4)	Legal & General (Unit Trust Managers) Limited	119273	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Link Fund Solutions Limited	119197	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	M & G Securities Limited	122057	01/07/2016	31/12/2018	Modification

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COBS6.4.3R (4)	Maitland Institutional Services Ltd	469627	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Man Fund Management UK Limited	185916	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Man Managed Funds ICVC	465345	30/06/2014	30/06/2016	Modification
COBS6.4.3R (4)	Marlborough Fund Managers Ltd	141660	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	MT Capital Management Limited	623887	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Novitas Loans Ltd	716962	01/07/2016	14/06/2018	Modification
COBS6.4.3R (4)	Partners Group (UK) Ltd	401307	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Premier Portfolio Managers Limited	122067	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Quilter Investors Limited	208543	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Rathbone Unit Trust Management Limited	144266	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	RBS Investment Options ICVC	476834	30/06/2014	30/06/2016	Modification
COBS6.4.3R (4)	Royal London Unit Trust Managers Limited	144037	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Sarasin Investment Funds Limited	122244	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Sarasin Investment Funds Limited	122244	11/10/2016	31/12/2018	Modification
COBS6.4.3R (4)	Schroder Unit Trusts Limited	197288	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Scottish Widows Unit Trust Managers Limited	122129	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Smith & Williamson Fund Administration Limited	122401	01/07/2016	31/12/2017	Modification
COBS6.4.3R (4)	St. James's Place Unit Trust Group Limited	122472	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Standard Life Investments (Mutual Funds) Limited	146477	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Stonehage Fleming Investment Management Limited	194382	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	THESIS Unit Trust Management Limited	186882	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	THESIS Unit Trust Management Limited	186882	19/06/2014	30/06/2016	Modification
COBS6.4.3R (4)	Tutman LLP	612721	01/07/2016	31/12/2018	Modification
COBS6.4.3R (4)	Zurich Investment Services (UK) Limited	628981	01/07/2016	31/12/2018	Modification
COBS13.4.4A	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS13.4.4A	Dentons Pension Management Limited	461094	06/04/2015	31/10/2016	Modification
COBS13.4.4A	Gaudi Regulated Services Limited	488015	06/04/2015	31/10/2016	Modification
COBS13.4.4A	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS13.4.4A	Taylor Patterson Associates Limited	114619	06/04/2015	31/10/2016	Modification
COBS13.4.4A	The National Farmers' Union Mutual Insurance Society Limited	117664	06/04/2015	31/10/2016	Modification

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COBS13.4.4AR	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS13.4.4AR	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS13.4.4R	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS13.4.4R	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS19.5	Assicurazioni Generali SpA	139430	15/04/2015	14/04/2016	Waiver
COBS19.5	Police Mutual Assurance Society Limited	110050	02/02/2018	05/04/2021	Waiver
COBS20.5	The Standard Life Assurance Company 2006	110464	05/10/2014	04/10/2017	Waiver
COBS20.5	The Standard Life Assurance Company 2006	110464	01/09/2017	31/08/2020	Waiver
COBS13.5.1	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS13.5.1	Aviva Administration Limited	185746	24/11/2011	24/11/2013	Modification
COBS13.5.1	Capita Life & Pensions Regulated Services Limited	145540	01/11/2016	05/04/2017	Modification
COBS13.5.1	Dentons Pension Management Limited	461094	06/04/2015	31/10/2016	Modification
COBS13.5.1	Friends Life and Pensions Limited	110414	24/11/2011	24/11/2013	Modification
COBS13.5.1	Friends Life Limited	196142	24/11/2011	24/11/2013	Modification
COBS13.5.1	Gaudi Regulated Services Limited	488015	06/04/2015	31/10/2016	Modification
COBS13.5.1	Heritage Pensions Limited	475096	19/12/2016	05/04/2017	Modification
COBS13.5.1	Investec Wealth & Investment Limited	124537	19/12/2016	05/04/2017	Modification
COBS13.5.1	Just Retirement Limited	232595	14/10/2016	05/04/2017	Modification
COBS13.5.1	Phoenix & London Assurance Limited	110470	24/07/2009	31/12/2009	Modification
COBS13.5.1	Phoenix & London Assurance Limited	110470	03/07/2008	31/12/2008	Modification
COBS13.5.1	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS13.5.1	Taylor Patterson Associates Limited	114619	06/04/2015	31/10/2016	Modification
COBS13.5.1	The National Farmers' Union Mutual Insurance Society Limited	117664	06/04/2015	31/10/2016	Modification
COBS13.5.1	Zurich Assurance Ltd	147672	16/11/2016	05/04/2017	Modification
<b>COBS20.5.1 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS19.5.2	Assicurazioni Generali SpA	139430	05/04/2016	04/04/2017	Modification
COBS19.5.2	Assicurazioni Generali SpA	139430	05/04/2017	04/04/2018	Modification
COBS13.5.2	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS13.5.2	Aviva Administration Limited	185746	24/11/2011	24/11/2013	Modification
COBS13.5.2	Capita Life & Pensions Regulated Services Limited	145540	01/11/2016	05/04/2017	Modification

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COBS13.5.2	Dentons Pension Management Limited	461094	06/04/2015	31/10/2016	Modification
COBS13.5.2	Friends Life and Pensions Limited	110414	24/11/2011	24/11/2013	Modification
COBS13.5.2	Friends Life Limited	196142	24/11/2011	24/11/2013	Modification
COBS13.5.2	Gaudi Regulated Services Limited	488015	06/04/2015	31/10/2016	Modification
COBS13.5.2	Heritage Pensions Limited	475096	19/12/2016	05/04/2017	Modification
COBS13.5.2	Investec Wealth & Investment Limited	124537	19/12/2016	05/04/2017	Modification
COBS13.5.2	Just Retirement Limited	232595	14/10/2016	05/04/2017	Modification
COBS19.5.2	PensionBee Limited	744931	18/07/2018	17/07/2020	Modification
COBS19.5.2	Sanlam Financial Services UK Limited	472783	01/10/2015	02/10/2015	Modification
COBS19.5.2	Sanlam Financial Services UK Limited	472783	08/10/2015	07/10/2018	Modification
COBS19.5.2	Sanlam Life & Pensions UK Limited	110397	08/10/2015	07/10/2018	Modification
COBS19.5.2	Sanlam Life & Pensions UK Limited	110397	01/10/2015	02/10/2015	Modification
COBS19.5.2	Scottish Friendly Assurance Society Limited	110002	14/08/2015	13/08/2016	Modification
COBS19.5.2	Scottish Friendly Assurance Society Limited	110002	06/04/2015	05/04/2018	Waiver
COBS19.5.2	Sheffield Mutual Friendly Society	139855	06/04/2015	05/04/2018	Waiver
COBS19.5.2	Sheffield Mutual Friendly Society	139855	08/02/2018	05/04/2021	Modification
COBS13.5.2	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS13.5.2	Taylor Patterson Associates Limited	114619	06/04/2015	31/10/2016	Modification
COBS13.5.2	The National Farmers' Union Mutual Insurance Society Limited	117664	06/04/2015	31/10/2016	Modification
COBS19.5.2	Wealth At Work Limited	417367	06/04/2015	05/04/2018	Modification
COBS13.5.2	Zurich Assurance Ltd	147672	16/11/2016	05/04/2017	Modification
COBS19.5.2 (1)	Alltrust Services Limited	461966	03/09/2015	02/09/2018	Modification
COBS19.5.2 (1)	Assicurazioni Generali SpA	139430	05/04/2018	04/04/2019	Modification
COBS19.5.2 (1)	Embark Services Limited	120820	29/03/2017	28/03/2019	Modification
COBS19.5.2 (1)	Integrated Financial Arrangements LTD	190856	02/02/2018	19/04/2021	Modification
COBS19.5.2 (1)	PensionBee Limited	744931	18/07/2017	17/07/2018	Modification
COBS19.5.2 (1)	Police Mutual Assurance Society Limited	110050	06/04/2015	05/04/2018	Modification
COBS19.5.2 (1)	RMIS (RTW) LIMITED	119332	17/08/2015	16/08/2016	Modification
COBS19.5.2 (1)	Sun Life Assurance Company of Canada (U.K.) Limited	110481	19/06/2015	18/06/2018	Waiver
COBS19.5.2 (1)	Sun Life Assurance Company of Canada (U.K.) Limited	110481	06/06/2018	05/06/2021	Modification

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COBS19.5.2 (1R)	Sanlam Financial Services UK Limited	472783	11/10/2018	10/10/2021	
COBS19.5.2 (1R)	Scottish Friendly Assurance Society Limited	110002	31/08/2016	31/08/2019	Waiver
<b>COBS20.5.3 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS4.5.5	N.F.U. Mutual Unit Managers Limited	121922	17/07/2011	30/06/2014	Modification
COBS4.5.5	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
<b>COBS20.5.5 (R)</b>	<b>The Standard Life Assurance Company 2006</b>	<b>110464</b>	<b>14/11/2018</b>	<b>31/08/2020</b>	<b>Modification</b>
COBS4.5.9	RBS Investment Options ICVC	476834	31/03/2015	30/06/2016	Modification
COBS13.5.1A	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS13.5.1A	Dentons Pension Management Limited	461094	06/04/2015	31/10/2016	Modification
COBS13.5.1A	Gaudi Regulated Services Limited	488015	06/04/2015	31/10/2016	Modification
COBS13.5.1A	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS13.5.1A	Taylor Patterson Associates Limited	114619	06/04/2015	31/10/2016	Modification
COBS13.5.1A	The National Farmers' Union Mutual Insurance Society Limited	117664	06/04/2015	31/10/2016	Modification
COBS13.5.1AR	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS13.5.1AR	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS13.5.1R	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS13.5.1R	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS13.5.1R	Sun Life Assurance Company of Canada (U.K.) Limited	110481	30/06/2017	30/06/2019	Modification
COBS13.5.2A	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS13.5.2A	Dentons Pension Management Limited	461094	06/04/2015	31/10/2016	Modification
COBS13.5.2A	Gaudi Regulated Services Limited	488015	06/04/2015	31/10/2016	Modification
COBS13.5.2A	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS13.5.2A	Taylor Patterson Associates Limited	114619	06/04/2015	31/10/2016	Modification
COBS13.5.2A	The National Farmers' Union Mutual Insurance Society Limited	117664	06/04/2015	31/10/2016	Modification
COBS13.5.2AR	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS13.5.2AR	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS19.5.2R	Integrated Financial Arrangements LTD	190856	02/04/2015	19/04/2018	Modification
COBS13.5.2R	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS13.5.2R	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS19.5.2R (1)	Sanlam Life & Pensions UK Limited	110397	11/10/2018	10/10/2021	Modification

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COBS16.6.2	Pension Insurance Corporation plc	454345	03/06/2014	31/12/2014	Modification
COBSR.6.4 (3)	Margetts Fund Management Limited	208565	16/04/2014	30/06/2016	Modification
COBS16.6.7	Aviva Life & Pensions UK Limited	185896	01/07/2017	30/06/2019	Modification
COBS16.6.7	Friends Life Limited	196142	28/12/2012	28/12/2015	Modification
COBS16.6.7	Friends Life Limited	196142	16/03/2016	15/03/2019	Modification
COBS11.8.3	Reuters Limited	206016	02/04/2013		Modification
COBS11.8.6	Allianz Global Investors Capital Limited	470709	24/06/2009	23/06/2014	Modification
COBS11.8.6	Allianz Global Investors Capital Limited	470709	06/03/2009	05/03/2014	Modification
COBS11.8.6	Avenue Europe Management LLP	400442	08/06/2011	01/06/2016	Modification
COBS18.10.1	Reuters Limited	206016	02/04/2013		Modification
COBS4.12.3	Propnology Limited	650066	01/10/2015	30/09/2018	Modification
COBS4.12.4 (1)	Mayfair Capital Investment Management Ltd	229228	28/02/2018	26/02/2021	Modification
COBS4.12.4 (1)	Mayfair Capital Investment Management Ltd	229228	27/02/2015	27/02/2018	Modification
COBS14.12.16	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2017	Modification
COBS14.12.16	FIL Investments International	122170	01/07/2016	31/12/2017	Modification
COBS14.12.16	FIL Pensions Management	144345	01/07/2016	31/12/2017	Modification
COBS14.12.16	Financial Administration Services Limited	122169	01/07/2016	31/12/2017	Modification
COBS14.12.17	FIL Investment Services (UK) Limited	121939	01/07/2016	31/12/2017	Modification
COBS14.12.17	FIL Investments International	122170	01/07/2016	31/12/2017	Modification
COBS14.12.17	FIL Pensions Management	144345	01/07/2016	31/12/2017	Modification
COBS14.12.17	Financial Administration Services Limited	122169	01/07/2016	31/12/2017	Modification
COBS14.12.16R	Standard Life Investments (Mutual Funds) Limited	146477	26/05/2016	31/12/2017	Modification
COBS4.12.3R	Charles Stanley & Co Ltd	124412	22/09/2014	21/09/2015	Modification
<b>COBS4.12.3R</b>	<b>Propnology Limited</b>	<b>650066</b>	<b>16/11/2018</b>	<b>15/11/2020</b>	<b>Modification</b>
COBSR.13.1 (3)	Baring Fund Managers Limited	119187	16/04/2014	30/06/2016	Modification
COBSR.13.1 (3)	Standard Life Investments (Mutual Funds) Limited	146477	23/04/2014	30/06/2016	Modification
COBSAR.14.2 (1)	Alpha Real Capital LLP	436048	16/04/2014	30/06/2016	Modification
COBSAR.14.2 (1)	Architas Multi-Manager Limited	477328	16/04/2014	30/06/2016	Modification
COBSAR.14.2 (1)	Baring Fund Managers Limited	119187	16/04/2014	30/06/2016	Modification
COBSAR.14.2 (1)	Liontrust Fund Partners LLP	518165	17/04/2014	30/06/2016	Modification

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COBSAR.14.2 (1)	Margetts Fund Management Limited	208565	16/04/2014	30/06/2016	Modification
COBSR.14.2 (1)	Margetts Fund Management Limited	208565	16/04/2014	30/06/2016	Modification
COBSAR.14.2 (1)	Sarasin Investment Funds Limited	122244	23/04/2014	30/06/2016	Modification
COBSAR.14.2 (1)	St. James's Place Unit Trust Group Limited	122472	16/04/2014	30/06/2016	Modification
COBSAR.14.2 (1)	Standard Life Investments (Mutual Funds) Limited	146477	23/04/2014	30/06/2016	Modification
COBSR.14.2 (1)	Standard Life Investments (Mutual Funds) Limited	146477	23/04/2014	30/06/2016	Modification
COBSR.14.2 (7)	Baring Fund Managers Limited	119187	16/04/2014	30/06/2016	Modification
COBSR.14.2 (7)	Margetts Fund Management Limited	208565	16/04/2014	30/06/2016	Modification
COBSR.14.2 (7)	Sarasin Investment Funds Limited	122244	23/04/2014	30/06/2016	Modification
COBSR.14.2 (7)	Standard Life Investments (Mutual Funds) Limited	146477	23/04/2014	30/06/2016	Modification
COBSAR.14.2 (9)	Alpha Real Capital LLP	436048	16/04/2014	30/06/2016	Modification
COBSAR.14.2 (9)	Architas Multi-Manager Limited	477328	16/04/2014	30/06/2016	Modification
COBSR.14.2 (9)	Baring Fund Managers Limited	119187	16/04/2014	30/06/2016	Modification
COBSAR.14.2 (9)	Liontrust Fund Partners LLP	518165	17/04/2014	30/06/2016	Modification
COBSAR.14.2 (9)	Margetts Fund Management Limited	208565	16/04/2014	30/06/2016	Modification
COBSAR.14.2 (9)	Sarasin Investment Funds Limited	122244	23/04/2014	30/06/2016	Modification
COBSR.14.2 (9)	Sarasin Investment Funds Limited	122244	23/04/2014	30/06/2016	Modification
COBSAR.14.2 (9)	St. James's Place Unit Trust Group Limited	122472	16/04/2014	30/06/2016	Modification
COBSAR.14.2 (9)	Standard Life Investments (Mutual Funds) Limited	146477	23/04/2014	30/06/2016	Modification
COBSR.14.2 (9)	Standard Life Investments (Mutual Funds) Limited	146477	23/04/2014	30/06/2016	Modification
COBSAR.14.2 (14)	Baring Fund Managers Limited	119187	16/04/2014	30/06/2016	Modification
COBSR.14.2 (14)	Margetts Fund Management Limited	208565	16/04/2014	30/06/2016	Modification
COBSR.14.2 (14)	Sarasin Investment Funds Limited	122244	23/04/2014	30/06/2016	Modification
COBSR.14.2 (14)	Standard Life Investments (Mutual Funds) Limited	146477	23/04/2014	30/06/2016	Modification
COBSR.14.2 (16)	BNY Mellon Fund Managers Limited	122007	23/04/2014	30/06/2016	Modification
COBSR.14.2 (16)	Insight Investment Funds Management Ltd	122259	17/04/2014	30/06/2016	Modification
COBSR.14.2 (17)	BNY Mellon Fund Managers Limited	122007	23/04/2014	30/06/2016	Modification
COBSR.14.2 (17)	Insight Investment Funds Management Ltd	122259	17/04/2014	30/06/2016	Modification
COBSAR.14.3 (11)	Architas Multi-Manager Limited	477328	16/04/2014	30/06/2016	Modification
COBSAR.14.3 (11)	Baring Fund Managers Limited	119187	16/04/2014	30/06/2016	Modification

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COBSAR.14.3 (11)	Liontrust Fund Partners LLP	518165	17/04/2014	30/06/2016	Modification
COBSAR.14.3 (11)	Margetts Fund Management Limited	208565	16/04/2014	30/06/2016	Modification
COBSAR.14.3 (11)	Sarasin Investment Funds Limited	122244	23/04/2014	30/06/2016	Modification
COBSAR.14.3 (11)	St. James's Place Unit Trust Group Limited	122472	16/04/2014	30/06/2016	Modification
COBSAR.14.3 (11)	Standard Life Investments (Mutual Funds) Limited	146477	23/04/2014	30/06/2016	Modification
COBS13.&.14	Phoenix Life Assurance Limited	117667	01/11/2016	05/04/2017	Modification
COBS13.&.14	Phoenix Life Limited	110418	01/11/2016	05/04/2017	Modification
COBS6.1A.4R	JLT Wealth Management Limited	196619	19/02/2018	30/06/2019	Modification
COBS13.Ann.21 (1R)	Canada Life Limited	110394	13/07/2017	31/03/2018	Modification
COBS Annex13.2	@sipp (Pension Trustees) Ltd	465289	06/04/2015	31/10/2016	Modification
COBS Annex13.2	@SIPP LIMITED	462907	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS Annex13.2	AXA Life Europe Limited	491150	16/05/2014	31/12/2016	Modification
COBS Annex13.2	BlackRock Life Limited	202909	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Capita Life & Pensions Regulated Services Limited	145540	06/04/2015	31/10/2016	Modification
COBS Annex13.2	FIL Life Insurance Limited	186526	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Financial Administration Services Limited	122169	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Friends Life and Pensions Limited	110414	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Friends Life Limited	196142	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Gaudi Regulated Services Limited	488015	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Jessop Fund Managers Limited	452904	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS Annex13.2	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS Annex13.2	MetLife Europe d.a.c.	456829	05/12/2016	31/12/2019	Modification
COBS Annex13.2	MetLife Europe d.a.c.	456829	09/05/2014	31/12/2016	Modification
COBS Annex13.2	Parmenion Capital Partners LLP	462085	06/04/2015	31/10/2016	Modification
COBS Annex13.2	RMIS (RTW) LIMITED	119332	18/12/2014	31/12/2016	Modification
COBS Annex13.2	Sanlam Financial Services UK Limited	472783	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Sanlam Life & Pensions UK Limited	110397	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Sippchoice Limited	496250	06/04/2015	31/10/2016	Waiver



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COBS Annex13.2	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Sun Life Assurance Company of Canada (U.K.) Limited	110481	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Sun Life Assurance Company of Canada (U.K.) Limited	110481	11/06/2014	31/12/2016	Waiver
COBS Annex13.2	The Equitable Life Assurance Society	110340	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Towry Pension Trustees Limited	465128	06/04/2015	31/10/2016	Modification
COBS Annex13.2	True Potential Investments LLP	527444	06/04/2015	31/10/2016	Modification
COBS Annex13.2	Wesleyan Assurance Society	110873	06/04/2015	31/10/2016	Modification
COBS Annex13.2.2	Old Mutual Wealth Life Assurance Limited	110462	26/06/2013	25/06/2015	Modification
COBS Annex13.2.2	Old Mutual Wealth Life Assurance Limited	110462	25/05/2011	31/05/2013	Modification
COBS Annex13.2.2 (3)	Canada Life Limited	110394	13/01/2016	31/01/2016	Modification
COBS Annex13.2.2 (3)	Phoenix Life Assurance Limited	117667	10/04/2014	31/12/2016	Modification
COBS Annex13.2.2 (3)	Phoenix Life Limited	110418	10/04/2014	31/12/2016	Modification
COBS Annex13.2.2 (4)	Canada Life Limited	110394	13/01/2016	31/01/2016	Modification
COBS Annex13.2.2 (4)	Phoenix Life Assurance Limited	117667	01/11/2007	31/10/2012	Modification
COBS Annex13.2.2 (4)	Phoenix Life Assurance Limited	117667	15/02/2010	31/10/2012	Modification
COBS Annex13.2.2 (4)	Phoenix Life Assurance Limited	117667	30/10/2012	30/10/2014	Modification
COBS Annex13.2.2 (9)	Old Mutual Wealth Life Assurance Limited	110462	12/05/2015	11/05/2017	Modification
COBS Annex13.2.2.9 (2d)	Aviva Administration Limited	185746	25/11/2015	24/11/2017	Modification
COBS Annex13.2.2.9 (2d)	Friends Life and Pensions Limited	110414	25/11/2015	24/11/2017	Modification
COBS Annex13.2.2.9 (2d)	Friends Life Limited	196142	25/11/2015	24/11/2017	Modification
COBS Annex13.2.2.9 (2e)	Aviva Administration Limited	185746	25/11/2015	24/11/2017	Modification
COBS Annex13.2.2.9 (2e)	Friends Life and Pensions Limited	110414	25/11/2015	24/11/2017	Modification
COBS Annex13.2.2.9 (2e)	Friends Life Limited	196142	25/11/2015	24/11/2017	Modification
COBS Annex13.2.9	Capita Life & Pensions Regulated Services Limited	145540	01/11/2016	05/04/2017	Modification
COBS Annex13.2.10	Capita Life & Pensions Regulated Services Limited	145540	01/11/2016	05/04/2017	Modification
COBS Annex13.3	@sipp (Pension Trustees) Ltd	465289	06/04/2015	31/10/2016	Modification
COBS Annex13.3	@SIPP LIMITED	462907	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS Annex13.3	BlackRock Life Limited	202909	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Capita Life & Pensions Regulated Services Limited	145540	06/04/2015	31/10/2016	Modification

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COBS Annex13.3	Dentons Pension Management Limited	461094	06/04/2015	31/10/2016	Modification
COBS Annex13.3	FIL Life Insurance Limited	186526	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Financial Administration Services Limited	122169	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Friends Life and Pensions Limited	110414	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Friends Life Limited	196142	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Gaudi Regulated Services Limited	488015	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Jessop Fund Managers Limited	452904	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS Annex13.3	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS Annex13.3	Parmenion Capital Partners LLP	462085	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Sanlam Financial Services UK Limited	472783	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Sanlam Life & Pensions UK Limited	110397	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Sippchoice Limited	496250	06/04/2015	31/10/2016	Waiver
COBS Annex13.3	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Sun Life Assurance Company of Canada (U.K.) Limited	110481	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Taylor Patterson Associates Limited	114619	06/04/2015	31/10/2016	Modification
COBS Annex13.3	The Equitable Life Assurance Society	110340	06/04/2015	31/10/2016	Modification
COBS Annex13.3	The National Farmers' Union Mutual Insurance Society Limited	117664	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Towry Pension Trustees Limited	465128	06/04/2015	31/10/2016	Modification
COBS Annex13.3	True Potential Investments LLP	527444	06/04/2015	31/10/2016	Modification
COBS Annex13.3	Wesleyan Assurance Society	110873	06/04/2015	31/10/2016	Modification
COBS Annex13.3.2.2 (2)	Old Mutual Wealth Limited	165359	30/10/2015	29/10/2018	Modification
COBS Annex13.3.2 (2R)	Friends Life Limited	196142	16/03/2016	15/03/2019	Modification
COBS Annex13.3.3	Old Mutual Wealth Life Assurance Limited	110462	25/05/2011	31/05/2013	Modification
COBS Annex13.4	@sipp (Pension Trustees) Ltd	465289	06/04/2015	31/10/2016	Modification
COBS Annex13.4	@SIPP LIMITED	462907	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Assicurazioni Generali SpA	139430	01/11/2016	05/04/2017	Modification
COBS Annex13.4	BlackRock Life Limited	202909	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Capita Life & Pensions Regulated Services Limited	145540	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Dentons Pension Management Limited	461094	06/04/2015	31/10/2016	Modification

Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
COBS Annex13.4	FIL Life Insurance Limited	186526	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Financial Administration Services Limited	122169	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Friends Life and Pensions Limited	110414	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Friends Life Limited	196142	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Gaudi Regulated Services Limited	488015	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Jessop Fund Managers Limited	452904	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Legal & General (Portfolio Management Services) Ltd	146786	15/06/2016	05/04/2017	Modification
COBS Annex13.4	Legal and General Assurance Society Limited	117659	15/06/2016	05/04/2017	Modification
COBS Annex13.4	Parmenion Capital Partners LLP	462085	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Sanlam Financial Services UK Limited	472783	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Sanlam Life & Pensions UK Limited	110397	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Sippchoice Limited	496250	06/04/2015	31/10/2016	Waiver
COBS Annex13.4	St. James's Place Wealth Management Plc	195351	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Sun Life Assurance Company of Canada (U.K.) Limited	110481	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Taylor Patterson Associates Limited	114619	06/04/2015	31/10/2016	Modification
COBS Annex13.4	The Equitable Life Assurance Society	110340	06/04/2015	31/10/2016	Modification
COBS Annex13.4	The National Farmers' Union Mutual Insurance Society Limited	117664	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Towry Pension Trustees Limited	465128	06/04/2015	31/10/2016	Modification
COBS Annex13.4	True Potential Investments LLP	527444	06/04/2015	31/10/2016	Modification
COBS Annex13.4	Wesleyan Assurance Society	110873	06/04/2015	31/10/2016	Modification
<b>COBS Annex13.An3.2.2</b>	<b>Old Mutual Wealth Limited</b>	<b>165359</b>	<b>01/11/2018</b>	<b>31/10/2021</b>	<b>Modification</b>
COBS Annex3.1.3	Capita Life & Pensions Regulated Services Limited	145540	01/11/2016	05/04/2017	Modification
COBS Annex4.1.3	Capita Life & Pensions Regulated Services Limited	145540	01/11/2016	05/04/2017	Modification
COBS Annex6.2	Sesame Limited	150427	11/01/2008	11/01/2010	Modification