

Reporting information to clients (MiFID provisions)

## Chapter 16A

Reporting information to  
clients (MiFID and insurance-  
based investment products  
provisions)



## 16A.1 Application

- 16A.1.1** **R** This chapter applies to a *firm* in relation to:
- (1) its *MiFID, equivalent third country or optional exemption business*;  
and
  - (2) carrying on *insurance distribution activities* relating to an *insurance-based investment product*.

### Effect of provisions marked “EU” for third country investment firms and MiFID optional exemption firms

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- 16A.1.2** **R** Provisions in this chapter marked “EU” and including a Note (‘**Note:**’) referring to the *MiFID Org Regulation* apply in relation to *MiFID optional exemption business* as if they were *rules* (see ■ COBS 1.2.2G).

- 16A.1.2A** **G** The effect of ■ GEN 2.2.22AR is that provisions in this chapter marked “EU” also apply in relation to the *equivalent business of a third country investment firm* as if they were *rules*.

### Effect of provisions marked “EU” for firms distributing insurance-based investment products

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- 16A.1.3** **R** Provisions in this chapter marked “EU” and including a Note (‘**Note:**’) referring to the *IDD Regulation* apply as if they were *rules* to *firms* to whom the *IDD Regulation* does not apply, when doing *insurance distribution*.