

Chapter 4

Statutory status disclosure

4.1 Application

Who? What?

4.1.1

R

This chapter applies to every *firm* and with respect to every *regulated activity*, except that:

- (1) [deleted]
- (2) [deleted]
- (3) [deleted]
- (4) [deleted]
- (5) only ■ GEN 4.1 (Application) and ■ GEN 4.5 (Statements about authorisation and regulation by the appropriate regulator) apply in relation to *MiFID or equivalent third country business* and only where that *MiFID or equivalent third country business* is not business falling within paragraph 2 (Transactions between an MTF operator and its users), 3 (Transactions concluded on an MTF) or 4 (Transactions concluded on a regulated market) of Part 1 of ■ COBS 1 Annex 1; and
- (6) only ■ GEN 4.1 (Application) and ■ GEN 4.5 (Statements about authorisation and regulation by the appropriate regulator) apply in relation to *administering a benchmark*.

Where?

4.1.2

R

■ GEN 4.3 (Letter disclosure) applies in relation to activities carried on from an establishment maintained by the *firm* (or by its *appointed representative*) in the *United Kingdom*, subject to ■ GEN 4.3.4 R (Exception: insurers). In relation to *regulated claims management activities*, ■ GEN 4.3 applies with respect to activity carried on in *Great Britain*, even if the establishment from which it is carried on is not located in the *UK* (see ■ PERG 2.4A).

4.1.2A

R

■ GEN 4.3 (Letter disclosure) applies to a *TP firm* in relation to activities carried on from an establishment maintained by the *TP firm* (or by its *appointed representative*) in the *United Kingdom*, or carried on by the *TP firm* (or its *appointed representative*) into the *United Kingdom* from an establishment that is not in the *United Kingdom*, subject to ■ GEN 4.3.4R (Exception: insurers).

- 4.1.3** **R** ■ GEN 4.4 (Business for private customers from non-UK offices) applies in connection with a *regulated activity* carried on from an establishment of the *firm* (or its *appointed representative*) that is not in the *United Kingdom*.
- 4.1.4** **R** ■ GEN 4.5 (Statements about authorisation and regulation by the *appropriate regulator*) applies in relation to activities carried on from an establishment maintained by the *firm* (or by its *appointed representative*) in the *United Kingdom*.
- 4.1.4A** **R** ■ GEN 4.5 (Statements about authorisation and regulation by the *appropriate regulator*) applies in relation to activities carried on from an establishment maintained by the *TP firm* (or by its *appointed representative*) in the *United Kingdom* or carried on by the *TP firm* (or its *appointed representative*) into the *United Kingdom* from an establishment that is not in the *United Kingdom*.