

Chapter 13

Operational risk: systems and controls for insurers

13.3 Other related Handbook sections

13.3.1 **G** [deleted]

13.3.1A **G** The following is a non-exhaustive list of *rules* and *guidance* in the *Handbook* that are relevant to a *firm's* management of operational risk:

(1) *COBS* contains *rules* and *guidance* that can relate to the management of operational risk; for example, ■ *COBS* 2 (Conduct of business obligations), ■ *COBS* 4 (Communicating with clients, including financial promotions), ■ *COBS* 6 (Information about the firm, its services and remuneration), ■ *COBS* 7 (Insurance distribution), ■ *COBS* 9 (Suitability (including basic advice)(other than MiFID and insurance-based investment products)), ■ *COBS* 9A (Suitability (MiFID and insurance-based investment products provisions), ■ *COBS* 10A (Appropriateness (for non-advised services) (MiFID and insurance-based investment products provisions), ■ *COBS* 11 (Dealing and managing), ■ *COBS* 12 (Investment research), ■ *COBS* 14 (Providing product information to clients) and ■ *COBS* 19 (Pensions: supplementary provisions).

13.3.1B **G**