

## Chapter 10

# Appropriateness (for non- advised services)

**10.6** When a firm need not assess appropriateness

- 10.6.1** **G** A *firm* need not assess appropriateness if it is receiving or transmitting an order in relation to which it has assessed suitability under **■ COBS 9** (Suitability (including basic advice)).
- 10.6.2** **G** A *firm* may not need to assess appropriateness if it is able to rely on a recommendation made by an *investment firm* (see **■ COBS 2.4.5 G** (Reliance on other investment firms: MiFID and equivalent business)).