

## Chapter 16

# Reporting information to clients (non-MiFID provisions)



Information to be included in a periodic report

This annex forms part of ■ COBS 16.3.1 R.

Periodic information (all cases)	
1.	the name of the <i>firm</i> ;
2.	the name or other designation of the <i>retail client's</i> account;
3.	a statement of the contents and the valuation of the portfolio, including details of: <ul style="list-style-type: none"><li>(a) each <i>designated investment</i> held, its market value or fair value if market value is unavailable;</li><li>(b) the cash balance at the beginning and at the end of the reporting period; and</li><li>(c) the performance of the portfolio during the reporting period;</li></ul>
4.	the total amount of <i>fees</i> and charges incurred during the reporting period, itemising at least total management <i>fees</i> and total costs associated with execution, and including, where relevant, a statement that a more detailed breakdown will be provided on request;
5.	a comparison of performance during the period covered by the statement with the investment performance benchmark (if any) agreed between the <i>firm</i> and the <i>client</i> ;
6.	the total amount of dividends, interest and other payments received during the reporting period in relation to the <i>client's</i> portfolio; and
7.	information about other corporate actions giving rights in relation to <i>designated investments</i> held in the portfolio.