

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 “UK” for third country investment firms and MiFID optional exemption firms**

- 16A.1.2 **R** Provisions in this chapter marked “UK” 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 “UK” also apply in relation to the *equivalent business of a third country investment firm* as if they were *rules*.

**Effect of provisions marked “UK” for firms distributing insurance-based investment products**

- 16A.1.3 **R** Provisions in this chapter marked “UK” 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*.