

## Chapter 4

# Statutory status disclosure

**4.4 Business for retail clients from non-UK offices**

4.4.1

**R**

- (1) If, in any communication:
- (a) made to:
    - (i) (in relation to a *non-investment insurance contract*) a consumer;
    - (ii) (in relation to a *home finance transaction*) a customer; or
    - (iii) (in all other cases) a *retail client*; and
  - (b) 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*;
- the *firm* indicates that it is an *authorised person*, it must also, where relevant, and with equal prominence, give the information in (2) in writing.
- (2) The information required is that in some or all respects the *regulatory system* applying will be different from that of the *United Kingdom*. The *firm* may also indicate the protections and complaints or compensation arrangements available under another relevant system of regulation.
- (3) A *firm* need not provide the information required by (1) if it has already provided it in writing to the *customer* to whom the communication is made.

4.4.2

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