

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