

**Client Money & Asset Return**

**Section 1 - Firm Information**

*This section should be completed by all firms*

- 1 Name of CASS audit firm A
- 2 Name of CASS audit firm (if other was selected above)
- 3 Does the firm hold client money
- 4 Does the firm safeguard and administer safe custody assets
- 5 Is the firm subject to the CFTC Part 30 Exemption Order
- Alternative Approach
- 6 Does the firm operate the alternative approach? (CASS 7.4.14G - 7.4.16G)
- 7 Has the alternative approach been signed off by the firm's auditors (as detailed in CASS 7.4.14G - 7.4.16G)?

Overview of firm's activities subject to CASS  
*Please complete the table below with all business types undertaken for segregated clients*

	Type of business activity	Number of clients	Balance of client money as at reporting period end date	Value of safe custody assets as at reporting period end date
8				
	Total			

**Section 2 - Balances**

*This section should be completed by all firms*

- 9 Highest client money balance during the reporting period A
- 10 Lowest client money balance during the reporting period
- 11 Highest value of safe custody assets during the reporting period
- 12 Lowest value of safe custody assets during the reporting period

**Section 3 - Segregation of client money**

*This section should only be completed if the answer to question 3A is "Yes"*

	A Type	B Institution where client money held	C Client money balances	D Country of incorporation of the institution	E Is this a group entity
13					
		Total			





