

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 Did the firm hold client money during the reporting period?
- 4 Did the firm safeguard and administer safe custody assets during the reporting period?
- 5 Was the firm subject to the CFTC Part 30 Exemption Order during the reporting period?
- Alternative Approach
- 6 Did the firm operate the alternative approach during the reporting period? (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

	A Type of business activity	B Number of clients	C Balance of client money	D 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 held during the reporting period A
- 10 Lowest client money balance held during the reporting period
- 11 Highest value of safe custody assets held during the reporting period
- 12 Lowest value of safe custody assets held during the reporting period

Section 6 - Segregation of safe custody assets

This section should only be completed if the answer to question 4A is "Yes"

	A	G	B	C	D	E	F
	How registered?	Where held?	Name of institution where custody assets held	Number of lines of stock	Value of safe custody assets as at reporting period end date	Country of incorporation of the institution	Is this a group entity
25							
				Total			

Section 7 - Safe custody assets reconciliations

This section should only be completed if the answer to question 4A is "Yes"

	A	B	C
	30 days	60 days	90 days
26	Safe custody assets unreconciled items		

	A	B	C
	Method	Frequency	Type of safe custody asset
27			

Section 8 - Record Keeping & Breaches

Record Keeping

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

	A	B	C	D	E	F
	Number of accounts held at beginning of reporting period	Number of new accounts opened during the reporting period	Number of accounts closed during the reporting period	Total number of accounts at the end of the reporting period	Number of trust status letters and/or acknowledgement letters in place that cover these accounts	Explanation of discrepancies
28	Client bank account					
29	Client transaction account					
30	Total					

