

Chapter 10

CASS resolution pack

10.3 Existing records forming part of the CASS resolution pack

10.3.1

R

A *firm* must include, as applicable, within its *CASS resolution pack* the records required under:

- (1) ■ CASS 6.3.2A R (safe custody assets: appropriateness of the firm's selection of a third party);
- (1A) ■ CASS 6.3.6AR (third party rights over client assets);
- (2) ■ CASS 6.4.3 R (firm's use of safe custody assets);
- (3) ■ CASS 6.6.2 R and ■ CASS 6.6.3 R (*safe custody assets* held for each client);
- (4) ■ CASS 6.6.6 R (client agreements: firm's right to use);
- (4A) ■ CASS 6.6.8 R (internal custody record checks, physical asset reconciliations and external custody reconciliations);
- (5) [deleted]
- (5A) ■ SYSC 6.1.1 R (policy and procedures for carrying out record checks and reconciliations);
- (5B) ■ CASS 7.13.14BR (policy for use of *client bank accounts* under ■ CASS 7.13.13R(3A)(b));
- (6) ■ CASS 7.13.25 R (client money: appropriateness of the firm's selection of a third party);
- (7) ■ CASS 7.15.2 R, ■ CASS 7.15.3 R and ■ CASS 7.15.5 R (client money held for each client);
- (7A) ■ CASS 7.15.7 R (internal client money reconciliations and external client money reconciliations);
- (10) ■ COBS 3.8.2 R (2)(a) and ■ COBS 3.8.2 R (2)(c) (client categorisation); and
- (11) ■ COBS 8.1.4 R or ■ COBS 8A.1.9R (retail and professional client agreements).

10.3.2

G

■ CASS 10.3.1 R does not change the record keeping requirements of the *rules* referred to therein.