

Section 1 – Firm information

For further guidance please go to section 0 and validation at section 9

Please ensure all monetary values are entered in GBP thousands (000's): (£1000 =1)

- 1a) Firm Name
- 1b) FSA firm reference number
- 1c) Reporting Period End Date
- 1d) What is your reporting frequency?
- 1e) Name of CASS audit firm
- 1f) Name of CASS audit firm (if Other was selected above)
- 1g) Does the firm hold Client Money?
- 1h) Does the firm safeguard and administer custody assets?
- 1i) Are you subject to the CFTC Part 30 Exemption Order?

Alternative Approach:

- 1j) Do you operate the Alternative Approach? (CASS 7.4.14G)
- 1k) Has the Alternative Approach been signed off by your auditors (as detailed in CASS 7.4.15R)?

Overview of firm's activities subject to CASS

- 1l) 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 Custody Assets as at reporting period end date |
|---------------------------|-------------------|---|---|
| | | | |
| | | | |

Section 2 - Balances

Please ensure all monetary values are entered in GBP thousands (000's): (£1000 =1)

CASS – Client Money and Client Asset balances

Firms are reminded that this form should not be completed for client money subject to CASS 5

Please provide the following information:

- 2a) Highest Client Money balance during this reporting period:
- 2b) Lowest Client Money balance during this reporting period:
- 2c) Highest value of Custody Assets held during this reporting period:
- 2d) Lowest value of Custody Assets held during this reporting period:

| |
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Provision of the above figures does not have any immediate effect on your categorisation. Any re-assessment of a firm's categorisation will normally take place on an annual basis, based on year end data.

Section 3a – Segregation of Client Money

Please ensure all monetary values are entered in GBP thousands (000's): (£1000 =1)

Firms are reminded that this form should not be completed for client money subject to CASS 5

Where the firm holds client money as at reporting period end date

| | Type - Select from drop down box | Institution where client money held | Client Money Balances | Country of incorporation of the institution (select from list) | Is this a group entity? |
|---|----------------------------------|-------------------------------------|-----------------------|--|-------------------------|
| | | | Total: 0 | | |
| 1 | | | | | |
| 2 | | | | | |

Section 3b – Segregation of Safe Custody Assets

Please ensure all monetary values are entered in GBP thousands (000's): (£1000 =1)

Where the firm holds safe custody assets as at reporting period end date

| | Where & How Held? - Select from drop down box? | Name of Institution | Number of lines of stock | Value of Assets as at reporting period end date | Country of incorporation of the institution (select from list) | Is this a group entity? |
|---|--|---------------------|--------------------------|---|--|-------------------------|
| | | | | Total: 0 | | |
| 1 | | | | | | |
| 2 | | | | | | |

Section 4 - Client Money Requirement and Resource

Please ensure all monetary values are entered in GBP thousands (000's): (£1000 =1)

Client Money Requirement and Resource

| |
|-----------------|
| CASS 7 Annex 1G |
| Enter Amount |
| |

4a) Client Money Requirement
of which:

| |
|--------------|
| Enter Amount |
| |
| |
| |

- 4ai) Unallocated to individual clients but identified as client money
- 4aii) Unidentified client money in client money bank accounts
- 4aiii) Uncleared payments e.g. unrepresented cheques sent to clients
- 4aiv) Excess cash in segregated accounts

4b) Client Money resource
: Money Requirement v Resource

| |
|---------------------|
| |
| (Autocalc: 4a – 4b) |
| |

4bi) Any adjustments made to withdraw an excess or rectify a deficit identified as a result of an internal reconciliation?

Section 5a – Safe Custody Asset Reconciliations

Please ensure all monetary values are entered in GBP thousands (000's): (£1000 =1)

Safe Custody Asset unreconciled items

| | 30days | 60days | 90days |
|---------------------|--------|--------|--------|
| Please enter value: | | | |

| | Method | Frequency | Type of custody asset | Frequency (if 'g' is Other) |
|---|--------|-----------|-----------------------|------------------------------|
| 1 | | | | |
| 2 | | | | |

Section 5b - Client money reconciliations

Please ensure all monetary values are entered in GBP thousands (000's): (£1000 =1)

Client money reconciliations

| Type | Frequency |
|---|-----------|
| 5a) Client Money Internal Reconciliation | |
| 5b) Frequency (if Other was selected above) | |
| 5c) Client Money External reconciliation | |
| 5d) Frequency (if Other was selected above) | |

Client Money unreconciled items

| 6-29 days | 30-59 days | 60-90 days | 90+ days |
|-----------|------------|------------|----------|
| | | | |

Enter number of unreconciled items even if it is 0

Section 6 - Record Keeping & Breaches

Record Keeping

| | Type of Account: | Total 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 which cover these accounts | Explanation of Discrepancies. |
|-----|-----------------------------------|--|---|---|---|---|-------------------------------|
| 6a) | <u>Client Bank Account</u> | | | | | | |
| 6b) | <u>Client Transaction Account</u> | | | | | | |
| | | (Enter values even if 0) | | TOTAL: | | | |

Breaches

6c) Has the firm reported any of the following notifiable breaches? Must be completed either Yes or No

Custody Asset Notification requirements (CASS 6.5.13R)

6d) Has the firm complied with the requirements in CASS 6.5.1R, 6.5.2R and 6.5.6R? Must be completed if 6c is Yes

6e) Following reconciliation, is the firm able to comply with the requirements in CASS 6.5.10R without material differences? Must be completed if 6c is Yes

Client Money Notification Requirements CASS 7.6.16R)

6f) Has the firm complied with the requirements in CASS 7.6.1R, 7.6.2R and 7.6.9R? Must be completed if 6c is Yes

6g) Following reconciliation, is the firm able to comply with the requirements in CASS 7.6.13R and 7.6.15R without material differences? Must be completed if 6c is Yes

6h) Are there any other CASS matters you wish to draw to our attention?

Section 7 - Does the firm outsource and/or offshore any of your client money and/or custody asset operations?

| | Who do you outsource and/or offshore these operations to? (name of entity) | What function of your CASS operations do you outsource and/or offshore? | Location of outsourcer/ TPA |
|---|--|---|-----------------------------|
| 1 | | | |
| 2 | | | |

Are there any significant changes being made or planned changes being considered to the firms existing outsourcing arrangements? Please provide the detail of any such consideration: