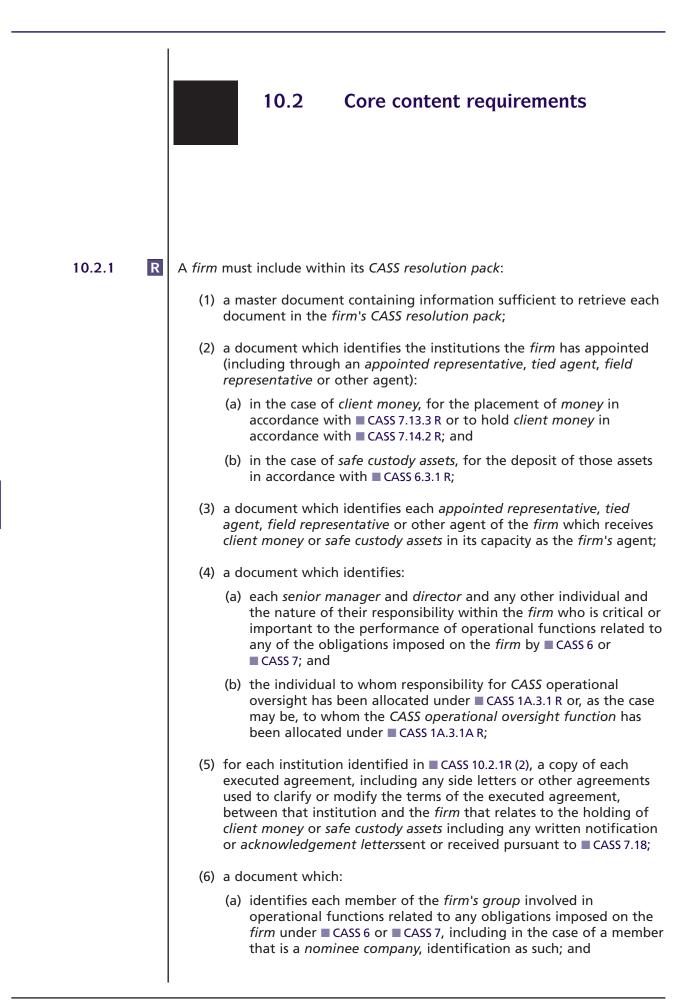
Client Assets

Chapter 10

CASS resolution pack

CASS 10 : CASS resolution pack



		(b) identifies each third party which the <i>firm</i> uses for the performance of operational functions related to any of the obligations imposed on the <i>firm</i> by ■ CASS 6 or ■ CASS 7; and
		(c) for each group member identified in (a), the type of entity (such as branch, subsidiary and or nominee company) the group member is, its jurisdiction of incorporation if applicable, and a description of its related operational functions;
		(7) a copy of each executed agreement, including any side letters or other agreements used to clarify or modify the terms of the executed agreement, between the <i>firm</i> and each third party identified in (6)(b);
		(8) where the <i>firm</i> relies on a third party identified in (6)(b), a document which describes how to:
		(a) gain access to relevant information held by that third party; and
		(b) effect a transfer of any of the <i>client money</i> or <i>safe custody assets</i> held by the <i>firm</i> , but controlled by that third party; and
		(9) a copy of the <i>firm</i> 's manual in which are recorded its procedures for the management, recording and transfer of the <i>client money</i> and <i>safe custody assets</i> that it holds.
10.2.2	G	For the purpose of CASS 10.2.1R (4), examples of individuals within the <i>firm</i> who are critical or important to the performance of operational functions include:
		(1) those necessary to carry out both internal and external <i>client money</i> and <i>safe custody asset</i> reconciliations and record checks; and
		(2) those in charge of client documentation for business involving <i>client money</i> and <i>safe custody assets</i> .
10.2.3	R	For the purpose of \blacksquare CASS 10.2.1R (2), a <i>firm</i> must ensure that the document records:
		(1) the full name of the individual institution in question;
		(2) the postal and email address and telephone number of that institution; and
		(3) the numbers of all accounts opened by that <i>firm</i> with that institution.