

Chapter 9

Information to clients

9.1 Application

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This chapter applies as follows:

- (1) ■ CASS 9.2 and ■ CASS 9.3 apply to a *prime brokerage firm* to which ■ CASS 6 (Custody rules) applies;
- (2) subject to paragraphs (3) and (4), ■ CASS 9.4 and ■ CASS 9.5 apply to a *firm* to which either or both ■ CASS 6 (Custody rules) and ■ CASS 7 (Client money rules) applies;
- (3) ■ CASS 9.4 and ■ CASS 9.5 do not apply to a *firm* which only *arranges safeguarding and administration of assets*; and
- (4) for a *firm* to which ■ CASS 7 (client money rules) applies as well as either or both of ■ CASS 5 (Client money: insurance distribution activity) and ■ CASS 11 (Debt management client money chapter) apply, this chapter does not apply to *client money* that a *firm* holds in accordance with ■ CASS 5 or ■ CASS 11.