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Cf10a Published Lists By Firm

If your firm is or becomes a CASS medium or large firm holding client money equal to or over £1 million and/or assets equal to or over £10m, you must: complete a CMAR; make a director or senior manager responsible for CASS (CF10a or SMF18) Complete a monthly Client Money and Asset Return (CMAR) You must complete a CMAR via Gabriel every month.

Client Money and Assets | FCA

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CF10a Published Lists - By Firm - Financial Services Authority

Published: 2nd June 2011 . As mentioned in previous Regulatory Roundups e.g. issues 23 & 28, CASS medium and large firms (see article above on CMAR for criteria) need to allocate the new function of CF10a (CASS operational oversight function) to a director or senior manager of a firm. Although the rules do not come into force until 1 October, firms can apply from 1 May.

Controlled Function CF10a - Complyport Limited

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The SMCR firm 3 must allocate3 responsibility for the firm's compliance with CASS to one of its SMF managers (see SYSC 24.2.1R 3). That responsibility is an "FCA-prescribed senior management responsibility". The full list of FCA-prescribed senior management responsibilities is in the table in SYSC 24.2.6R 3. 3 1 (7)

CASS 11.3 Responsibility for CASS operational oversight ...

Table of Firm Types ... in our Handbook are based on the near-final rules published in PS18/14, PS19/9 and PS19/20. Who the guide is for The SM&CR will apply to all FCA solo-regulated firms authorised under Financial Services and Markets Act 2000 (FSMA), as well as EEA and third-country branches.

The Senior Managers and Certification Regime: Guide for ...

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Il Gattopardo Luchino Visconti

Published: 9th December 2010 . There are big changes to CASS coming up which include a new control function and the need to complete a Client Money and Asset Return ('CMAR'). As mentioned in Regulatory Roundup 11, the FSA are introducing a 'CASS operational oversight function'(CF10a) which is the operational role of ensuring that the appropriate client assets and client money ...

CASS & a New Operational Oversight Function - Complyport ...

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The FCA published its Senior Managers and Certification Regime (SMCR) near final rules on 4th July 2018, which mainly confirms its proposed rules released last summer. In these new rules, the FCA has introduced a new Prescribed Responsibility for firms' compliance with CASS which will require firms to reflect on the interaction of roles and responsibilities between the "CASS Prescribed ...

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Assets Firm Classification, Oversight, Reporting and the Mandate Rules published by the Financial Services Authority (FSA) on 25 July 2012. WHO WE ARE 2. ... CASS large firm has allocated the CF10a function to a director or a senior manager, ... an up to date list and the second requirement being to maintain records of conditions over the

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