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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.

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Financial Conduct Authority
The responsibilities of a CF10a approved person will include developing, implementing and updating CASS-related policies, reporting to the firm's governing body on CASS compliance, and (for medium ...

CASS operational oversight controlled function (CF10a) and ...
If your firm is or becomes a CASS medium or large firm holding client money equal to or over £1

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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 become an Enhanced firm or want to opt up into a different tier of the regime. Working out your firm's type You can use the tool below to work out your SM&CR firm type. Each type is explained in further detail in the table below and our Handbook in SYSC 23 Annex 1. If you are not an SM&CR firm, the regime and this guide do not apply to you.

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The Senior Managers and Certification Regime: Guide for ...
The CF10a, with support and challenge from the governing body, must build and maintain the CASS Control Framework including a complete picture of CASS risks and a detailed understanding of how to manage the CASS Risks.

CASS: Governance and the operational oversight function ...
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

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management responsibilities is in
the table in SYSC 24.2.6R 3. 3 1
(7)

CASS 11.3 Responsibility for CASS
operational oversight ...

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