

1. No. of CASS firms split by industry as at 30 April 2020 (industry definition can be determined by FCA).

Portfolio	Number of firms
Advisers and intermediaries	94
Alternatives	107
Asset Management	121
Contracts for Differences (CFD) Providers	94
Credit Brokers	5
Crowdfunders (Investment)	13
Custody Services	40
Debt Advice Firms	36
E-Money Issuer	1
Life Third Party Administrators	6
Lloyds and London Market Intermediaries (including Managing General Agents)	165
Mortgage Intermediaries	15
Non-Bank Lenders	1
Payment Services Firm	1
Peer-to-Peer lending platforms	45
Personal and Commercial Lines Insurance Intermediaries	1,199
Platforms	17
Principal Trading Firms	15
Retail Bank	15
Retail Finance Providers	1
SIPP Operators	21
Wealth Management	129
Wholesale (Other)	18
Wholesale Bank	43
Wholesale Brokers	49

- 2. Further to number 1, the split of these firms by CASS firm type (small, medium, large) as at 30 April 2020.**

Portfolio	CASS large firm	CASS medium firm	CASS small firm
Advisers and intermediaries	1	34	15
Alternatives		87	20
Asset Management		98	23
Contracts for Differences (CFD) Providers		59	35
Credit Brokers		1	
Crowdfunders (Investment)		11	2
Custody Services	10	25	5
Debt Advice Firms			1
E-Money Issuer			1
Life Third Party Administrators	2	4	
Mortgage Intermediaries			1
Non-Bank Lenders		1	
Payment Services Firm			1
Peer-to-Peer lending platforms		31	14
Platforms	5	12	
Principal Trading Firms		13	2
Retail Bank	1	11	3
SIPP Operators	1	10	10
Wealth Management	8	107	13
Wholesale (Other)		10	8
Wholesale Bank	13	23	7
Wholesale Brokers		37	12

- 3. Number of FCA regulated firms which have permission to hold client money (i.e. in-scope for CASS 7 audit) as at 30 April 2020.**

There are 800 firms that fall under CASS 7 who have the authority to hold client money.

- 4. Number of FCA regulated firms which have permission to safeguard custody assets (i.e. in-scope for CASS 6 audit) as at 30 April 2020.**

There are 996 firms that fall under CASS 6 who can safeguard assets (Safeguarding and administration of assets permission), trustee/depositary, small AIFM).