

Date: 20 October 2020

Our Ref: FOI7604

Freedom of Information : Right to know request

Thank you for your email of 1 September 2020 in which you asked for the following information:

- "1) *No. of CASS firms split by industry as at 30 April 2020 (industry definition can be determined by FCA).*
- 2) *Further to number 1, the split of these firms by CASS firm type (small, medium, large) as at 30 April 2020.*
- 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.*
- 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."*

On 23 September 2020 you confirmed that you were content to receive the information based on the portfolios which reflects firms' main business.

We have processed your request in line with the provisions of the Freedom of Information Act 2000 and the information you have requested is attached.

When reviewing our response, please note that the information provided for question 1 includes all CASS firms, including general insurance intermediary (GII) firms. However, GII firms are not classified in the same way as designated investment business (DIB) firms, i.e. small, medium and large, so are not included in the response to question 2.

GII firms also fall under CASS 5 (and not CASS 6 or CASS 7) so will not be included in the figures for questions 3 and 4.

Your right to complain under FOIA

If you are unhappy with this response, you have the right to request an internal review. To do so, please contact us within 40 working days of the date of this response at FreedomofInformationAppeals@fca.org.uk.

If you are not content with the outcome of the internal review, you also have a right of appeal to the Information Commissioner by phone or on their website at:

Website: www.ico.org.uk

Yours sincerely

Information Disclosure Team
Financial Conduct Authority