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Rule Ref.	Firm Name	FSA Reg. No.	Start date	Expiry date	Waiver Type
CASS1.0	Bridgepoint Advisers II Limited	498893	20/03/2015	20/03/2016	Modification
CASS1.0	Bridgepoint Advisers Limited	181601	20/03/2015	20/03/2016	Modification
CASS1.1	Budge and Company Limited	133515	22/02/2013	21/02/2014	Modification
CASS1.1.1	Abingworth LLP	453934	18/12/2012	31/12/2013	Modification
CASS1.1.1	Abingworth Management Ltd	122003	18/12/2012	31/12/2013	Modification
CASS1.1.1	Amundi (UK) Ltd	114503	29/05/2013	28/05/2014	Modification
CASS1A.1.1	Anderson Strathern Asset Management Limited	552925	22/02/2018		Modification
CASS1A.1.1	Bridgepoint Advisers II Limited	498893	17/02/2015	16/02/2016	Modification
CASS1A.1.1	Bridgepoint Advisers Limited	181601	17/02/2015	16/02/2016	Modification
CASS1A.1.1	Core Capital Partners LLP	593311	01/12/2014	30/11/2015	Modification
CASS1.1.1	F H. Manning Financial Services Limited	114341	09/04/2014	08/04/2015	Modification
CASS7.1.1	Family Equity Plan Limited	122351	17/09/2009	28/03/2012	Modification
CASS1A.1.1	Lowes Financial Management Limited	114650	10/02/2017	10/02/2018	Modification
CASS1.1.1	MAYFAIR BRIDGING 1 LIMITED	535026	10/12/2013	09/12/2014	Modification
CASS1.1.1	OPM Fund Management Ltd	158900	01/02/2013	01/02/2014	Modification
CASS1.1.1	S.I.T. Savings Limited	125495	15/01/2013	15/01/2014	Modification
CASS1A.1.1	Tejara Capital Limited	478936	08/05/2014	07/05/2015	Modification
CASS1A.1.1	Tilly Bailey & Irvine LLP	450104	21/11/2014	20/11/2015	Modification
CASS7.1.1 (1)	Family Equity Plan Limited	122351	12/06/2008	28/03/2012	Modification
CASS1.1.1 (3)	Brandon Hill Capital Limited	210414	11/06/2013	10/06/2014	Modification
CASS1A.1.1 (3)	Newton Investment Management (North America) Limited	154925	04/08/2014	03/08/2015	Modification
CASS1A.1.1 (3)	Nomura Asset Management UK Ltd	122703	12/08/2014	11/08/2015	Modification
CASS1A.1.1 (3)	Tilney Discretionary Investment Management Limited	147103	04/08/2014	03/08/2015	Modification
CASS7.1.15 (10)	Cantor Fitzgerald Europe	149380	11/02/2014	11/05/2014	Modification
CASS1A.1.1R	Charterhouse General Partners (IX) Limited	122148	10/07/2017	09/07/2018	Modification
CASS1A.1.1R	M&G Investment Management Limited	119328	07/06/2016	06/06/2017	Modification
CASS1A.1.1R (3)	Aviva Administration Limited	185746	07/07/2016	06/07/2017	Modification

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CASS1A.1.1R (3)	Baring Asset Management Limited	170601	04/06/2014	03/06/2015	Modification
CASS1A.1.1R (3)	BMO Asset Managers Limited	148926	14/07/2015	03/07/2016	Modification
CASS1A.1.1R (3)	Butterfield Mortgages Limited	119274	20/06/2017	20/06/2018	Modification
CASS1a.1.1R (3)	C Hoare & Co	122093	15/05/2018	14/05/2019	Modification
CASS1A.1.1R (3)	Franklin Templeton Investment Management Limited	121779	22/02/2017	22/02/2018	
CASS1A.1.1R (3)	Jupiter Asset Management Limited	141274	04/07/2016	03/07/2017	Modification
CASS1A.1.1R (3)	M & G Financial Services Limited	122058	07/06/2016	06/06/2017	Waiver
CASS1A.1.1R (3)	M&G International Investments Limited	197515	07/06/2016	06/06/2017	Modification
CASS1A.1.1R (3)	Newton Investment Management Limited	119331	09/07/2015	08/07/2016	Modification
CASS1A.1.1R (3)	Threadneedle Navigator ISA Manager Limited	188889	02/07/2014	01/07/2015	Modification
CASS1A.1.1R (3)	Tilney Asset Management Services Limited	189997	27/06/2014	26/06/2015	Modification
CASS1A.1.R (3)	Charterhouse General Partners (IX) Limited	122148	04/08/2016	03/08/2017	Modification
CASS7A.2.2 (R)	European Pensions Management Limited	461099	04/07/2016	19/07/2016	Modification
<b>CASS7A.2.2 (R)</b>	<b>Greyfriars Asset Management LLP</b>	<b>229285</b>	<b>21/11/2018</b>	<b>18/12/2018</b>	<b>Modification</b>
CASS7A.2.2 (R1)	Greyfriars Asset Management LLP	229285	22/10/2018	30/11/2018	Modification
CASS1.2.3	Newedge Group	183415	31/12/2010	30/06/2011	Modification
CASS1.2.3 (2)	Newedge Group	183415	20/05/2011	01/12/2011	Modification
CASS1.2.3 (2)	Newedge Group	183415	27/08/2010	31/12/2010	Modification
CASS7.2.4	Arc Capital And Income Plc	114927	14/01/2010	14/02/2010	Modification
CASS7.2.4	MF Global UK Limited	106052	18/06/2014	31/10/2017	Modification
CASS7.2.4	NDF Administration Limited	138124	26/11/2009	25/05/2010	Modification
CASS7.2.4	NDF Administration Limited	138124	26/10/2009	03/11/2009	Waiver
CASS7.2.4	NDF Administration Limited	138124	26/10/2009	25/10/2010	Modification
CASS7A.2.4 (2R)	Pritchard Stockbrokers Limited	124257	16/04/2018	30/06/2019	Modification
CASS7A.2.4 (R)	Worldspreads Ltd	230730	05/06/2015	31/12/2015	Modification
CASS6.2.5	HSBC Bank Plc	114216	01/06/2015	15/02/2016	Waiver
CASS7.2.7	NDF Administration Limited	138124	26/10/2009	25/10/2010	Modification
CASS7.2.7 (R)	Jubilee Financial Products LLP	486204	22/02/2016	22/02/2017	Modification
CASS7.2.9	Lehman Brothers International (Europe)	147475	21/10/2009	20/10/2011	Modification
CASS7.2.9	Lehman Brothers International (Europe)	147475	21/10/2012	20/10/2013	Modification

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CASS7.2.9	Lehman Brothers International (Europe)	147475	21/10/2011	20/10/2012	Modification
CASS7.2.9	Lehman Brothers International (Europe)	147475	20/10/2013	20/10/2015	Modification
CASS6.2.10	Australia and New Zealand Banking Group Ltd	114151	21/10/2016	20/01/2017	Modification
CASS6.2.10	NatWest Markets Plc	121882	19/04/2018	18/07/2018	Modification
CASS6.2.10	The Bank of Nova Scotia	141308	21/09/2016	20/12/2016	Modification
CASS6.2.10 (1)	Societe Generale	124866	10/07/2018	20/10/2018	Modification
CASS6.2.10 (R)	Interactive Investor Services Limited	141282	10/10/2016	09/01/2017	Modification
<b>CASS6.2.10 (R)</b>	<b>Societe Generale</b>	<b>124866</b>	<b>29/11/2018</b>	<b>28/01/2019</b>	<b>Modification</b>
CASS7.2.15	Aberdeen Asset Managers Limited	121891	09/09/2008	08/12/2008	Modification
CASS7.2.15	Aberdeen Asset Managers Limited	121891	20/09/2011	19/12/2011	Modification
CASS7.2.15	Aberdeen Asset Managers Limited	121891	15/11/2012	14/02/2013	Modification
CASS7.2.15	Artemis Investment Management LLP	523180	18/12/2013	17/03/2014	Modification
CASS6.2.15	Australia and New Zealand Banking Group Ltd	114151	21/10/2016	20/01/2017	Modification
CASS7.2.15	AXA Investment Managers UK Ltd	119368	31/05/2009	31/05/2011	Modification
CASS7.2.15	Canaccord Genuity Limited	182011	28/01/2013	28/04/2013	Modification
CASS7.2.15	Family Equity Plan Limited	122351	28/03/2012	28/06/2012	Waiver
CASS7.2.15	Gartmore Investment Limited	119236	27/06/2011	27/09/2011	Modification
CASS7.2.15	Halifax Share Dealing Limited	183332	27/02/2015	26/05/2015	Modification
CASS7.2.15	Halifax Share Dealing Limited	183332	28/10/2011	28/01/2012	Modification
CASS7.2.15	Intrinsic Cirilium Investment Company Limited	195747	01/04/2010	30/06/2010	Waiver
CASS7.2.15	Jupiter Asset Management Limited	141274	22/08/2014	21/11/2014	Modification
CASS7.2.15	Legal & General (Portfolio Management Services) Ltd	146786	15/09/2014	14/12/2014	Waiver
CASS7.2.15	Legal & General (Portfolio Management Services) Ltd	146786	26/03/2015	26/06/2015	Modification
CASS7.2.15	Liverpool Victoria Portfolio Managers Limited	188521	06/08/2014	05/11/2014	Modification
CASS7.2.15	Murray Johnstone Ltd	138341	09/09/2008	08/12/2008	Modification
CASS7.2.15	NDF Administration Limited	138124	03/03/2011	03/06/2011	Modification
CASS7.2.15	Newedge Group	183415	01/11/2011	04/11/2011	Modification
CASS7.2.15	Optimum Investment Management Limited	122610	27/06/2011	27/09/2011	Modification
CASS7.2.15	Pershing Securities Ltd	146576	30/07/2014	29/07/2015	Modification
CASS7.2.15	Pershing Securities Ltd	146576	19/05/2014	18/08/2014	Modification

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CASS7.2.15	Pershing Securities Ltd	146576	09/09/2013	09/12/2013	Waiver
CASS7.2.15	Pershing Securities Ltd	146576	11/03/2013	10/06/2013	Modification
CASS7.2.15	Pershing Securities Ltd	146576	09/04/2013	08/07/2013	Modification
CASS7.2.15	Pershing Securities Ltd	146576	25/01/2013	24/04/2013	Modification
CASS7.2.15	Pershing Securities Ltd	146576	20/05/2013	19/08/2013	Modification
CASS7.2.15	Religare Capital Markets (Europe) Limited	143695	25/06/2013	24/09/2013	Modification
CASS7.2.15	Santander Asset Management UK Limited	122491	21/05/2015	21/08/2015	Waiver
CASS7.2.15	Scottish Friendly Insurance Services Ltd	457058	05/08/2012	05/11/2012	Modification
CASS6.2.15	Societe Generale	124866	10/07/2018	20/10/2018	Modification
CASS7.2.15	Talos Securities Limited	208271	02/12/2014	01/03/2015	Modification
CASS7.2.15	Threadneedle Navigator ISA Manager Limited	188889	02/05/2014	01/08/2014	Modification
CASS7.2.15 (1)	Aberdeen Asset Managers Limited	121891	11/02/2009	11/05/2009	Modification
CASS7.2.15 (2)	AXA Investment Managers GS Limited	188523	15/10/2013	15/01/2014	Modification
CASS7.2.15 (2)	AXA Investment Managers UK Ltd	119368	15/10/2013	15/01/2014	Modification
CASS7.2.15 (2)	Beaufort Securities Limited	155104	10/08/2009	01/10/2009	Waiver
CASS7.2.15 (2)	BNP Paribas Fund Services UK Limited	189094	21/11/2007	21/02/2008	Waiver
CASS7.2.15 (2)	BNP Paribas Fund Services UK Limited	189094	01/12/2008	28/02/2009	Waiver
CASS7.2.15 (2)	Close Investments Limited	148682	14/03/2008	13/06/2008	Waiver
CASS7.2.15 (2)	Close Investments Limited	148682	08/04/2009	07/07/2009	Waiver
CASS7.2.15 (2)	Daniel Stewart & Company Plc	145026	24/09/2010	24/12/2010	Waiver
CASS7.2.15 (2)	Direct Sharedeal Ltd	188753	01/10/2010	01/01/2011	Waiver
CASS7.2.15(2)	E*Trade Securities Limited	140818	15/04/2010	14/07/2010	Waiver
CASS7.2.15 (2)	Elevate Portfolio Services Limited	144849	20/02/2014	19/05/2014	Modification
CASS7.2.15 (2)	First State Investments (UK) Limited	143359	29/07/2008	28/10/2008	Waiver
CASS7.2.15 (2)	Gillespie MacAndrew LLP	442761	21/11/2011	20/02/2012	Modification
CASS7.2.15 (2)	Legal & General (Portfolio Management Services) Ltd	146786	28/04/2011	27/07/2011	Waiver
CASS7.2.15 (2)	Legal & General (Unit Trust Managers) Limited	119273	13/05/2011	12/08/2011	Modification
CASS7.2.15 (2)	Legal & General (Unit Trust Managers) Limited	119273	28/04/2011	27/07/2011	Waiver
CASS7.2.15 (2)	Lindsays	111463	01/09/2009	30/11/2009	Waiver
CASS7.2.15 (2)	Liverpool Victoria Portfolio Managers Limited	188521	01/11/2011	31/01/2012	Modification

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CASS7.2.15 (2)	Murray Johnstone Ltd	138341	11/02/2009	11/05/2009	Modification
CASS7.2.15 (2)	Pershing Securities Ltd	146576	24/07/2008	24/10/2008	Waiver
CASS7.2.15 (2)	Pershing Securities Ltd	146576	23/08/2012	23/11/2012	Modification
CASS7.2.15 (2)	Pershing Securities Ltd	146576	26/01/2010	26/04/2010	Waiver
CASS7.2.15 (2)	Pershing Securities Ltd	146576	15/02/2010	15/05/2010	Waiver
CASS7.2.15 (2)	Pershing Securities Ltd	146576	23/09/2009	23/12/2009	Waiver
CASS7.2.15 (2)	Pershing Securities Ltd	146576	26/11/2008	26/02/2009	Waiver
CASS7.2.15 (2)	RAB Capital Limited	190254	15/08/2008	14/11/2008	Waiver
CASS7.2.15(2)	Singer & Friedlander Capital Management Limited	172672	25/03/2010	24/06/2010	Waiver
CASS7.2.15 (2)	Singer & Friedlander Investment Management Ltd	119364	08/01/2009	08/04/2009	Waiver
CASS7.2.15 (2)	TAM Asset Management Ltd	208243	30/11/2007	29/02/2008	Waiver
CASS7.2.15 (2)	TAM Asset Management Ltd	208243	20/12/2007	19/03/2008	Waiver
CASS7.2.15 (2)	Teathers Limited	186677	03/11/2008	03/02/2009	Waiver
<b>CASS6.2.15 (R)</b>	<b>Societe Generale</b>	<b>124866</b>	<b>29/11/2018</b>	<b>28/01/2019</b>	<b>Modification</b>
CASS2.2.18	Capita Life & Pensions Regulated Services Limited	145540	03/06/2004		Modification
CASS2.2.18	Capita Life & Pensions Regulated Services Limited	145540	04/06/2006	03/06/2008	Modification
CASS7.2.18	Credit Suisse Asset Management Limited	114627	29/02/2012	28/08/2012	Waiver
CASS7.2.19	Credit Suisse Asset Management Limited	114627	29/02/2012	28/08/2012	Waiver
CASS7.2.20	Aberdeen Asset Managers Limited	121891	09/09/2008	08/12/2008	Modification
CASS7.2.20	Aberdeen Asset Managers Limited	121891	04/07/2014	03/04/2015	Modification
CASS7.2.20	AXA Investment Managers UK Ltd	119368	31/05/2009	31/05/2011	Modification
CASS7.2.20	BNY Mellon Fund Managers Limited	122007	03/07/2014	02/07/2016	Modification
CASS7.2.20	Christchurch Investment Management Limited	153730	14/09/2012	13/03/2013	Modification
CASS7.2.20	CIBC World Markets Plc	176515	27/11/2014	26/02/2015	Modification
CASS7.2.20	Credit Suisse AG	119206	01/11/2007	31/10/2009	Modification
CASS7.2.20	Credit Suisse Asset Management Limited	114627	29/02/2012	28/08/2012	Waiver
CASS7.2.20	Credit Suisse Asset Management Limited	114627	08/10/2013	08/04/2014	Modification
CASS7.2.20	Credit Suisse International	146702	01/11/2007	31/10/2009	Modification
CASS7.2.20	Credit Suisse Securities (Europe) Ltd	124611	01/11/2007	31/10/2009	Modification
CASS7.2.20	E*Trade Securities Limited	140818	13/10/2014	01/06/2015	Modification

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CASS7.2.20	Generali Portfolio Management (UK) Limited	190829	26/02/2014	25/08/2014	Modification
CASS7.2.20	Goldman Sachs International	142888	01/11/2007	01/11/2009	Modification
CASS7.2.20	Goldman Sachs International	142888	01/11/2007	01/11/2009	Modification
CASS7.2.20	Henderson Global Investors Limited	121857	01/04/2010	30/06/2010	Modification
CASS7.2.20	Insight Investment Funds Management Ltd	122259	17/06/2013	16/09/2013	Waiver
CASS7.2.20	Insight Investment Funds Management Ltd	122259	17/06/2013	17/09/2013	Modification
CASS7.2.20	Kepler Cheuvreux UK Limited	113980	01/11/2013	30/04/2014	Modification
CASS7.2.20	Methuselah Life Markets Limited	124251	18/09/2012	18/03/2013	Modification
CASS7.2.20	Morgan Stanley & Co. International Plc	165935	01/11/2007	31/10/2009	Modification
CASS7.2.20	Morgan Stanley & Co. International Plc	165935	23/03/2010	22/03/2012	Modification
CASS7.2.20	Morgan Stanley Securities Ltd	139238	01/11/2007	31/10/2009	Modification
CASS7.2.20	Morgan Stanley Securities Ltd	139238	23/03/2010	22/03/2012	Modification
CASS7.2.20	Murray Johnstone Ltd	138341	09/09/2008	08/12/2008	Modification
CASS7.2.20	Royal London Savings Limited	191237	20/06/2008	20/06/2013	Modification
CASS7.2.20	Schroder Investments Limited	122305	01/12/2011	01/03/2012	Modification
CASS7.2.20	Schroder Unit Trusts Limited	197288	01/12/2011	01/03/2012	Modification
CASS7.2.20	Scottish Amicable ISA Managers Limited	144083	01/12/2013	31/05/2014	Modification
CASS7.2.20	Threadneedle Navigator ISA Manager Limited	188889	02/05/2014	01/11/2014	Modification
CASS7.2.20	Threadneedle Portfolio Services Limited	119174	31/05/2011	01/12/2011	Modification
CASS7.2.20	UBS (2003) Limited	124360	01/11/2007	01/11/2009	Modification
CASS7.2.20	UBS International UK Limited	145873	01/11/2007	01/11/2009	Modification
CASS7.2.20	UBS Securities Limited	124362	01/11/2007	01/11/2009	Modification
CASS7.2.20 (1)	Aberdeen Asset Managers Limited	121891	11/02/2009	11/05/2009	Modification
CASS7.2.20 (1)	Aberdeen Fund Managers Limited	121803	11/02/2009	11/05/2009	Modification
CASS7.2.20 (1)	Edinburgh Portfolio Limited	144851	11/02/2009	11/05/2009	Modification
CASS7.2.20 (1)	FIL Investments International	122170	02/03/2012	01/06/2012	Modification
CASS7.2.20 (1)	Financial Administration Services Limited	122169	14/03/2013	13/09/2013	Modification
CASS7.2.20 (1)	Gartmore Investment Limited	119236	03/11/2009	02/11/2011	Modification
CASS7.2.20 (1)	Goldman Sachs International	142888	27/11/2009	26/11/2011	Modification
CASS7.2.20 (1)	Lehman Brothers International (Europe)	147475	01/11/2007	31/10/2009	Modification



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CASS7.2.20 (1)	Methuselah Life Markets Limited	124251	04/02/2013	04/08/2013	Modification
CASS7.2.20 (1)	Murray Johnstone Ltd	138341	11/02/2009	11/05/2009	Modification
CASS7.2.20 (1)	Nomura International Plc	124422	23/09/2008	23/09/2010	Modification
CASS7.2.20 (1)	Pershing Securities Ltd	146576	22/01/2013	21/01/2014	Waiver
CASS7.2.20 (1)	Royal London Savings Limited	191237	15/08/2012	15/08/2013	Modification
CASS7.2.20 (1)	Singer & Friedlander Capital Management Limited	172672	02/05/2013	01/11/2013	Modification
CASS7.2.20 (1)	Singer & Friedlander Investment Management Ltd	119364	02/05/2013	01/11/2013	Modification
CASS7.2.20 (1)	SVM Asset Management Limited	146873	11/06/2013	10/12/2013	Modification
CASS7.2.20 (1)	UBS (2003) Limited	124360	01/11/2007	01/11/2009	Modification
CASS7.2.20 (1)	UBS International UK Limited	145873	01/11/2007	01/11/2009	Modification
CASS7.2.21	Credit Suisse Asset Management Limited	114627	29/02/2012	28/08/2012	Waiver
CASS6.2.10R	Societe Generale	124866	21/03/2018	20/06/2018	Modification
CASS7.2.15R	Ignis Investment Services Limited	121895	03/06/2014	02/09/2014	Modification
CASS6.2.15R	Societe Generale	124866	21/03/2018	20/06/2018	Modification
CASS7.2.15R (2)	Talos Securities Limited	208271	04/03/2015	31/05/2015	Modification
CASS7.2.20E	E*Trade Securities Limited	140818	22/05/2015	21/11/2015	Modification
CASS7.2.20E	Iona Capital Ltd	121887	01/07/2014	31/12/2014	Modification
CASS7.2.20E	Newton Investment Management Limited	119331	04/11/2014	03/02/2015	Modification
CASS7.2.20E (1)	IG Index Limited	114059	22/10/2014	31/03/2015	Modification
CASS7.2.20E (1)	IG Markets Limited	195355	22/10/2014	31/03/2015	Modification
CASS7A.2.2R	Avalon Investment Services Limited	190602	19/02/2016	04/03/2016	Modification
CASS7A.2.2R	European Pensions Management Limited	461099	20/06/2016	11/07/2016	Modification
CASS7A.2.4R (2)	Alpari (UK) Ltd	448002	25/07/2016	24/07/2017	Waiver
CASS6.2.5R	HSBC Bank Plc	114216	16/02/2016	31/08/2016	Modification
CASS2.3.4 (1)	Abbey Stockbrokers Limited	154210	05/10/2007	31/10/2007	Waiver
CASS6.3.1	Capita Life & Pensions Regulated Services Limited	145540	22/08/2014	21/08/2015	Modification
CASS6.3.1	Capita Life & Pensions Regulated Services Limited	145540	04/09/2009	03/09/2014	Modification
CASS2.3.2	Aberdeen Asset Managers Limited	121891	16/08/2005	16/08/2006	Waiver
CASS2.3.2	Aberdeen Asset Managers Limited	121891	03/10/2005	03/01/2006	Waiver
CASS2.3.2	Aberdeen Asset Managers Limited	121891	28/02/2007	28/05/2007	Modification

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CASS2.3.2	Avalon Investment Services Limited	190602	17/09/2004	17/12/2004	Modification
CASS2.3.2	Banque Internationale a Luxembourg	139264	25/08/2005	25/11/2005	Waiver
CASS2.3.2	Butterfield Mortgages Limited	119274	17/09/2004	17/12/2004	Waiver
CASS2.3.2	Close Asset Management (UK) Limited	175827	17/09/2004	17/12/2004	Waiver
CASS2.3.2	Close Investments Limited	148682	30/09/2006	31/12/2006	Waiver
CASS2.3.2	Credit Suisse Asset Management Limited	114627	03/05/2005	02/08/2005	Waiver
CASS2.3.2	Dexia EFM Limited	142415	25/08/2005	25/11/2005	Waiver
CASS2.3.2	Dexia IIM Limited	121896	25/08/2005	25/11/2005	Waiver
CASS2.3.2	Dexia PAM Limited	116383	25/08/2005	25/11/2005	Waiver
CASS2.3.2	Direct Sharedeal Ltd	188753	10/07/2007	10/10/2007	Waiver
CASS2.3.2	Edinburgh Fund Managers Plc	119220	16/08/2005	16/08/2006	Waiver
CASS2.3.2	Edinburgh Fund Managers Plc	119220	03/10/2005	03/01/2006	Waiver
CASS2.3.2	First State Investments (UK) Limited	143359	08/12/2006	08/03/2007	Waiver
CASS2.3.2	Forester Fund Management Limited	208027	13/04/2006	30/04/2007	Modification
CASS2.3.2	Forester Fund Management Limited	208027	01/05/2007	31/10/2007	Modification
CASS2.3.2	Forester Fund Management Limited	208027	01/11/2007	30/10/2012	Modification
CASS2.3.2	Halifax Share Dealing Limited	183332	15/12/2006	14/03/2007	Waiver
CASS2.3.2	HBOS Investment Fund Managers Limited	119223	16/05/2006	30/04/2007	Modification
CASS2.3.2	HBOS Investment Fund Managers Limited	119223	01/05/2007	31/10/2007	Modification
CASS2.3.2	HBOS Investment Fund Managers Limited	119223	01/04/2008	31/12/2008	Modification
CASS2.3.2	Henderson Rowe Ltd	401809	01/12/2006	01/03/2007	Waiver
CASS2.3.2	Interactive Investor Trading Limited	190551	15/12/2006	14/03/2007	Waiver
CASS2.3.2	J M Finn & Co Ltd	450754	03/07/2006	03/10/2007	Waiver
CASS2.3.2	Link Fund Solutions Limited	119197	08/12/2006	08/03/2007	Waiver
CASS2.3.2	Marex Financial	442767	17/02/2006		Waiver
CASS2.3.2	National Westminster Bank Plc	121878	04/05/2006	30/04/2007	Modification
CASS2.3.2	National Westminster Bank Plc	121878	01/05/2007	31/10/2007	Modification
CASS2.3.2	National Westminster Bank Plc	121878	01/11/2007	31/03/2008	Modification
CASS2.3.2	National Westminster Bank Plc	121878	01/04/2008	31/12/2008	Modification
CASS2.3.2	NatWest Markets Plc	121882	29/09/2004	29/12/2004	Waiver



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CASS2.3.2	NatWest Markets Plc	121882	04/05/2006	30/04/2007	Modification
CASS2.3.2	NatWest Markets Plc	121882	01/05/2007	31/10/2007	Modification
CASS2.3.2	NatWest Markets Plc	121882	01/11/2007	31/03/2008	Modification
CASS2.3.2	NatWest Markets Plc	121882	01/04/2008	31/12/2008	Modification
CASS2.3.2	Nottingham Oddfellows Assurance Friendly Society Limited	110033	24/06/2008	31/12/2008	Modification
CASS2.3.2	Pershing Securities Ltd	146576	30/01/2006	30/04/2006	Waiver
CASS2.3.2	Pershing Securities Ltd	146576	06/10/2006	05/01/2007	Waiver
CASS2.3.2	Platform Securities LLP	214206	30/01/2006	30/04/2006	Waiver
CASS2.3.2	Platform Securities LLP	214206	01/12/2006	01/03/2007	Waiver
CASS2.3.2	Premier Fund Managers Ltd	143097	31/01/2006	30/04/2006	Modification
CASS2.3.2	Principal Asset Management Limited	114416	17/09/2004	17/12/2004	Waiver
CASS2.3.2	Santander ISA Managers Limited	171448	15/05/2006	30/04/2007	Modification
CASS2.3.2	Santander ISA Managers Limited	171448	01/05/2007	31/10/2007	Modification
CASS2.3.2	Santander ISA Managers Limited	171448	01/04/2008	31/12/2008	Modification
CASS2.3.2	Scottish Friendly Asset Managers Limited	188832	11/04/2006	30/04/2007	Modification
CASS2.3.2	Scottish Friendly Asset Managers Limited	188832	01/05/2007	31/10/2007	Modification
CASS2.3.2	Scottish Friendly Asset Managers Limited	188832	01/04/2008	31/12/2008	Modification
CASS2.3.2	Sky Capital UK Limited	165851	10/07/2007	10/10/2007	Waiver
CASS2.3.2	Tesco Personal Finance PLC	186022	01/11/2007	31/03/2008	Modification
CASS2.3.2	Tesco Personal Finance PLC	186022	01/04/2008	31/12/2008	Modification
CASS2.3.2	The Rechabite Friendly Society Limited	109994	30/05/2007	31/10/2007	Modification
CASS2.3.2	The Rechabite Friendly Society Limited	109994	25/03/2008	31/12/2008	Modification
CASS2.3.2	The Schoolteachers Friendly Society	139829	27/04/2006	30/04/2007	Modification
CASS2.3.2	The Schoolteachers Friendly Society	139829	01/05/2007	31/10/2007	Modification
CASS2.3.2	The Schoolteachers Friendly Society	139829	01/11/2007	30/03/2008	Modification
CASS2.3.2	The Schoolteachers Friendly Society	139829	01/04/2008	31/12/2008	Modification
CASS2.3.2	The Share Centre Limited	146768	18/04/2006	30/04/2007	Modification
CASS2.3.2	The Share Centre Limited	146768	01/05/2007	31/10/2007	Modification
CASS2.3.2	The Share Centre Limited	146768	01/04/2008	31/12/2008	Modification
CASS2.3.2	Ulster Bank Ltd	122315	04/05/2006	30/04/2007	Modification

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CASS2.3.2	Ulster Bank Ltd	122315	01/05/2007	31/10/2007	Modification
CASS2.3.2	Ulster Bank Ltd	122315	01/11/2007	31/03/2008	Modification
CASS2.3.2	Ulster Bank Ltd	122315	01/04/2008	31/12/2008	Modification
CASS2.3.2	Walker Crips Stockbrokers Ltd	226344	02/04/2004		Modification
CASS2.3.4	Barratt & Cooke Limited	428789	05/07/2005	05/10/2005	Waiver
CASS2.3.4	BNP Paribas Fund Services UK Limited	189094	08/04/2005	07/07/2005	Waiver
CASS2.3.4	BNY Mellon Fund Managers Limited	122007	09/09/2005	09/12/2005	Waiver
CASS2.3.4	City Financial Investment Company Limited	189302	28/11/2006	27/02/2007	Waiver
CASS2.3.4	Forester Fund Management Limited	208027	13/04/2006	30/04/2007	Modification
CASS2.3.4	Forester Fund Management Limited	208027	01/05/2007	31/10/2007	Modification
CASS2.3.4	Forester Fund Management Limited	208027	01/11/2007	30/10/2012	Modification
CASS2.3.4	HBOS Investment Fund Managers Limited	119223	16/05/2006	30/04/2007	Modification
CASS2.3.4	HBOS Investment Fund Managers Limited	119223	01/05/2007	31/10/2007	Modification
CASS2.3.4	HBOS Investment Fund Managers Limited	119223	01/04/2008	31/12/2008	Modification
CASS2.3.4	Interactive Investor Services Limited	141282	25/03/2006	25/06/2006	Modification
CASS2.3.4	Link Fund Solutions Limited	119197	08/12/2006	08/03/2007	Waiver
CASS2.3.4	Lloyds Bank PLC	119278	21/10/2004		Modification
CASS2.3.4	Marks & Spencer Financial Services Plc	151427	19/02/2008	18/05/2008	Waiver
CASS2.3.4	Marks and Spencer Savings and Investments Ltd	155226	19/02/2008	18/05/2008	Waiver
CASS2.3.4	Marks and Spencer Unit Trust Management Limited	141662	19/02/2008	18/05/2008	Waiver
CASS2.3.4	Morgan Stanley Investment Management Limited	121920	10/02/2006	09/05/2006	Modification
CASS2.3.4	National Westminster Bank Plc	121878	04/05/2006	30/04/2007	Modification
CASS2.3.4	National Westminster Bank Plc	121878	01/05/2007	31/10/2007	Modification
CASS2.3.4	National Westminster Bank Plc	121878	01/11/2007	31/03/2008	Modification
CASS2.3.4	National Westminster Bank Plc	121878	01/04/2008	31/12/2008	Modification
CASS2.3.4	NatWest Markets Plc	121882	04/05/2006	30/04/2007	Modification
CASS2.3.4	NatWest Markets Plc	121882	01/05/2007	31/10/2007	Modification
CASS2.3.4	NatWest Markets Plc	121882	01/11/2007	31/03/2008	Modification
CASS2.3.4	NatWest Markets Plc	121882	01/04/2008	31/12/2008	Modification
CASS2.3.4	Neptune Investment Management Limited	416015	08/08/2005	08/11/2005	Modification

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CASS2.3.4	Neptune Investment Management Limited	416015	24/01/2006	23/04/2006	Waiver
CASS2.3.4	Newton Investment Management Limited	119331	09/09/2005	09/12/2005	Waiver
CASS2.3.4	Nottingham Oddfellows Assurance Friendly Society Limited	110033	24/06/2008	31/12/2008	Modification
CASS2.3.4	Premier Portfolio Managers Limited	122067	23/08/2005	30/11/2005	Modification
CASS2.3.4	Quilter Fund Management Ltd	142819	08/08/2005	08/11/2005	Waiver
CASS2.3.4	Ruffer LLP	229135	23/03/2004	23/06/2004	Modification
CASS2.3.4	Santander ISA Managers Limited	171448	15/05/2006	30/04/2007	Modification
CASS2.3.4	Santander ISA Managers Limited	171448	01/05/2007	31/10/2007	Modification
CASS2.3.4	Santander ISA Managers Limited	171448	01/04/2008	31/12/2008	Modification
CASS2.3.4	Scottish Friendly Asset Managers Limited	188832	11/04/2006	30/04/2007	Modification
CASS2.3.4	Scottish Friendly Asset Managers Limited	188832	01/05/2007	31/10/2007	Modification
CASS2.3.4	Scottish Friendly Asset Managers Limited	188832	01/04/2008	31/12/2008	Modification
CASS2.3.4	Tesco Personal Finance PLC	186022	01/11/2007	31/03/2008	Modification
CASS2.3.4	Tesco Personal Finance PLC	186022	01/04/2008	31/12/2008	Modification
CASS2.3.4	The Rechabite Friendly Society Limited	109994	30/05/2007	31/10/2007	Modification
CASS2.3.4	The Rechabite Friendly Society Limited	109994	25/03/2008	31/12/2008	Modification
CASS2.3.4	The Schoolteachers Friendly Society	139829	27/04/2006	30/04/2007	Modification
CASS2.3.4	The Schoolteachers Friendly Society	139829	01/05/2007	31/10/2007	Modification
CASS2.3.4	The Schoolteachers Friendly Society	139829	01/11/2007	30/03/2008	Modification
CASS2.3.4	The Schoolteachers Friendly Society	139829	01/04/2008	31/12/2008	Modification
CASS2.3.4	The Share Centre Limited	146768	18/04/2006	30/04/2007	Modification
CASS2.3.4	The Share Centre Limited	146768	01/05/2007	31/10/2007	Modification
CASS2.3.4	The Share Centre Limited	146768	01/04/2008	31/12/2008	Modification
CASS2.3.4	Ulster Bank Ltd	122315	04/05/2006	30/04/2007	Modification
CASS2.3.4	Ulster Bank Ltd	122315	01/05/2007	31/10/2007	Modification
CASS2.3.4	Ulster Bank Ltd	122315	01/11/2007	31/03/2008	Modification
CASS2.3.4	Ulster Bank Ltd	122315	01/04/2008	31/12/2008	Modification
CASS2.3.4 (1)	Aberdeen Asset Managers Limited	121891	16/08/2005	16/08/2006	Waiver
CASS2.3.4 (1)	Aberdeen Asset Managers Limited	121891	03/10/2005	03/01/2006	Waiver
CASS2.3.4 (1)	Aberdeen Asset Managers Limited	121891	28/02/2007	28/05/2007	Modification

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CASS2.3.4 (1)	Alliance Trust Savings Limited	116115	14/02/2006	14/05/2006	Waiver
CASS2.3.4 (1)	Alliance Trust Savings Limited	116115	03/01/2007	02/04/2007	Waiver
CASS2.3.4 (1)	Artemis Fund Managers Limited	122448	03/05/2005	02/08/2005	Waiver
CASS2.3.4 (1)	Avalon Investment Services Limited	190602	17/09/2004	17/12/2004	Modification
CASS2.3.4 (1)	Baillie Gifford Savings Management Limited	150233	02/02/2005	01/05/2005	Modification
CASS2.3.4 (1)	Banque Internationale a Luxembourg	139264	25/08/2005	25/11/2005	Waiver
CASS2.3.4 (1)	Brooks MacDonald Asset Management (Tunbridge Wells) Limited	114752	28/05/2008	28/08/2008	Waiver
CASS2.3.4 (1)	Butterfield Mortgages Limited	119274	17/09/2004	17/12/2004	Waiver
CASS2.3.4 (1)	Close Asset Management (UK) Limited	175827	17/09/2004	17/12/2004	Waiver
CASS2.3.4 (1)	Close Investments Limited	148682	30/09/2006	31/12/2006	Waiver
CASS2.3.4 (1)	Computershare Investor Services Plc	188534	22/05/2006	21/05/2008	Waiver
CASS2.3.4 (1)	Credit Suisse Asset Management Limited	114627	03/05/2005	02/08/2005	Waiver
CASS2.3.4 (1)	Deutsche Private Asset Management Limited	122480	22/03/2006	22/06/2006	Waiver
CASS2.3.4 (1)	Dexia EFM Limited	142415	25/08/2005	25/11/2005	Waiver
CASS2.3.4 (1)	Dexia IIM Limited	121896	25/08/2005	25/11/2005	Waiver
CASS2.3.4 (1)	Dexia PAM Limited	116383	25/08/2005	25/11/2005	Waiver
CASS2.3.4 (1)	Direct Line Unit Trusts Limited	176886	26/11/2007	26/02/2008	Waiver
CASS2.3.4 (1)	Direct Sharedeal Ltd	188753	10/07/2007	10/10/2007	Waiver
CASS2.3.4 (1)	Edinburgh Fund Managers Plc	119220	07/04/2004	20/07/2004	Waiver
CASS2.3.4 (1)	Edinburgh Fund Managers Plc	119220	16/08/2005	16/08/2006	Waiver
CASS2.3.4 (1)	Edinburgh Fund Managers Plc	119220	03/10/2005	03/01/2006	Waiver
CASS2.3.4 (1)	Financial Administration Services Limited	122169	21/12/2004	21/03/2005	Waiver
CASS2.3.4 (1)	Financial Administration Services Limited	122169	22/07/2005	22/10/2005	Waiver
CASS2.3.4 (1)	First State Investment Management (UK) Limited	119367	02/02/2005	01/05/2005	Waiver
CASS2.3.4 (1)	First State Investments (UK) Limited	143359	08/12/2006	08/03/2007	Waiver
CASS2.3.4 (1)	First State Investments (UK) Limited	143359	11/12/2007	11/03/2008	Waiver
CASS2.3.4 (1)	Forester Investments Limited	194141	28/11/2006	28/02/2007	Waiver
CASS2.3.4 (1)	Gartmore Investment Limited	119236	15/10/2005	15/01/2006	Modification
CASS2.3.4 (1)	Gartmore Investment Limited	119236	28/02/2007	28/05/2007	Waiver
CASS2.3.4 (1)	Halifax Share Dealing Limited	183332	15/12/2006	14/03/2007	Waiver

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CASS2.3.4 (1)	Henderson Global Investors Limited	121857	08/04/2005	07/07/2005	Waiver
CASS2.3.4 (1)	Henderson Global Investors Limited	121857	04/12/2006	04/02/2007	Waiver
CASS2.3.4 (1)	Henderson Rowe Ltd	401809	01/12/2006	01/03/2007	Waiver
CASS2.3.4 (1)	IM Asset Management Ltd	402770	28/02/2005	28/05/2005	Waiver
CASS2.3.4 (1)	Interactive Investor Trading Limited	190551	15/12/2006	14/03/2007	Waiver
CASS2.3.4 (1)	Investec Wealth & Investment Limited	124537	17/09/2004	17/12/2004	Waiver
CASS2.3.4 (1)	Irwin Mitchell	127038	28/02/2005	28/05/2005	Waiver
CASS2.3.4 (1)	J M Finn & Co Ltd	450754	03/07/2006	03/10/2007	Waiver
CASS2.3.4 (1)	Lazard Fund Managers Limited	122190	22/07/2005	22/10/2005	Modification
CASS2.3.4 (1)	Legal & General (Portfolio Management Services) Ltd	146786	26/10/2004	26/01/2005	Waiver
CASS2.3.4 (1)	Link Fund Solutions Limited	119197	24/01/2006	23/04/2006	Modification
CASS2.3.4 (1)	Link Fund Solutions Limited	119197	11/12/2007	11/03/2008	Waiver
CASS2.3.4 (1)	Lloyds Bank PLC	119278	23/02/2005	28/02/2008	Waiver
CASS2.3.4 (1)	Marex Financial	442767	17/02/2006		Waiver
CASS2.3.4 (1)	Martin Currie Investment Management Ltd	119289	14/02/2006	14/05/2006	Waiver
CASS2.3.4 (1)	NatWest Markets Plc	121882	29/09/2004	29/12/2004	Waiver
CASS2.3.4 (1)	NCL Investments Limited	140824	06/09/2005	06/12/2005	Waiver
CASS2.3.4 (1)	Pershing Securities Ltd	146576	30/07/2004	30/10/2004	Waiver
CASS2.3.4 (1)	Pershing Securities Ltd	146576	30/01/2006	30/04/2006	Waiver
CASS2.3.4 (1)	Pershing Securities Ltd	146576	06/10/2006	05/01/2007	Waiver
CASS2.3.4 (1)	Platform Securities LLP	214206	30/01/2006	30/04/2006	Waiver
CASS2.3.4 (1)	Platform Securities LLP	214206	01/12/2006	01/03/2007	Waiver
CASS2.3.4 (1)	Premier Fund Managers Ltd	143097	31/01/2006	30/04/2006	Modification
CASS2.3.4 (1)	Principal Asset Management Limited	114416	17/09/2004	17/12/2004	Waiver
CASS2.3.4 (1)	RBS Collective Investment Funds Limited	122139	26/11/2007	26/02/2008	Waiver
CASS2.3.4 (1)	RBS Financial Products Plc	149244	29/09/2004	29/12/2004	Waiver
CASS2.3.4 (1)	Santander ISA Managers Limited	171448	05/10/2007	31/10/2007	Waiver
CASS2.3.4 (1)	Sky Capital UK Limited	165851	10/07/2007	10/10/2007	Waiver
CASS2.3.4 (1)	Standard Life Savings Limited	188796	22/03/2006	22/06/2006	Waiver
CASS2.3.4 (1)	Walker Crips Stockbrokers Ltd	226344	02/04/2004		Modification

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CASS2.3.4 (1)	Waverton Investment Management Limited	116404	06/10/2007	31/10/2007	Waiver
CASS2.3.4 (1)	Witan Investment Services Limited	446227	04/12/2006	04/02/2007	Waiver
CASS2.3.4 (1)	Woolwich Plan Managers Limited	183887	15/11/2004	15/02/2005	Waiver
CASS6.3.5	Lehman Brothers International (Europe)	147475	30/10/2012	30/10/2015	Modification
CASS4.3.42	Capita Life & Pensions Regulated Services Limited	145540	03/06/2004		Modification
CASS4.3.89	Capita Life & Pensions Regulated Services Limited	145540	01/02/2005	01/02/2006	Modification
CASS4.3.89	Capita Life & Pensions Regulated Services Limited	145540	17/02/2006	16/02/2008	Modification
CASS4.3.89	Legal & General Investment Management Ltd	119272	19/11/2004	19/11/2005	Modification
CASS4.3.89	Legal & General Investment Management Ltd	119272	19/11/2005	19/11/2006	Modification
CASS4.3.89	Legal & General Investment Management Ltd	119272	30/10/2006	29/10/2009	Modification
CASS4.3.89	Northern Trust Global Investments Limited	191916	31/03/2004	31/03/2005	Waiver
CASS4.3.89	Northern Trust Global Investments Limited	191916	31/03/2005	31/03/2006	Modification
CASS4.3.89	Northern Trust Global Investments Limited	191916	31/03/2006	31/03/2009	Modification
CASS4.3.89	Northern Trust Global Services SE	226284	31/03/2004	31/03/2005	Waiver
CASS4.3.89	Northern Trust Global Services SE	226284	31/03/2005	31/03/2006	Modification
CASS4.3.89	Northern Trust Global Services SE	226284	31/03/2006	31/03/2009	Modification
CASS4.3.89	The Northern Trust Company	122020	31/03/2004	31/03/2005	Waiver
CASS4.3.89	The Northern Trust Company	122020	31/03/2005	31/03/2006	Modification
CASS4.3.89	The Northern Trust Company	122020	31/03/2006	31/03/2009	Modification
CASS4.3.99	Aberdeen Fund Managers Limited	121803	09/09/2008	08/12/2008	Modification
CASS4.3.99	Barratt & Cooke Limited	428789	05/07/2005	05/10/2005	Waiver
CASS4.3.99	Direct Sharedeal Ltd	188753	10/07/2007	10/10/2007	Waiver
CASS4.3.99	Edinburgh Portfolio Limited	144851	09/09/2008	08/12/2008	Modification
CASS4.3.99	Henderson Unit Trusts Limited	119315	11/07/2008	11/10/2008	Waiver
CASS4.3.99	M&G Alternatives Investment Management Limited	122011	25/10/2007	25/01/2008	Waiver
CASS4.3.99	Marks & Spencer Financial Services Plc	151427	19/02/2008	18/05/2008	Waiver
CASS4.3.99	Marks and Spencer Savings and Investments Ltd	155226	19/02/2008	18/05/2008	Waiver
CASS4.3.99	Marks and Spencer Unit Trust Management Limited	141662	19/02/2008	18/05/2008	Waiver
CASS4.3.99	Martin Currie Investment Management Ltd	119289	14/02/2006	14/05/2006	Waiver
CASS4.3.99	Pershing Securities Ltd	146576	30/01/2006	30/04/2006	Waiver



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CASS4.3.99	Sky Capital UK Limited	165851	10/07/2007	10/10/2007	Waiver
CASS4.3.99	UBS (2003) Limited	124360	19/04/2004	19/04/2009	Modification
CASS4.3.99	UBS International UK Limited	145873	19/04/2004	19/04/2009	Modification
CASS4.3.99 (2)	Artemis Fund Managers Limited	122448	03/05/2005	02/08/2005	Waiver
CASS4.3.99 (2)	BNP Paribas Fund Services UK Limited	189094	08/04/2005	07/07/2005	Waiver
CASS4.3.99 (2)	BNY Mellon Fund Managers Limited	122007	09/09/2005	09/12/2005	Waiver
CASS4.3.99 (2)	Credit Lyonnais Rouse Limited	144592	07/04/2005	07/07/2005	Modification
CASS4.3.99 (2)	Deutsche Private Asset Management Limited	122480	22/03/2006	22/06/2006	Waiver
CASS4.3.99 (2)	Direct Line Unit Trusts Limited	176886	26/11/2007	26/02/2008	Waiver
CASS4.3.99 (2)	Edinburgh Fund Managers Plc	119220	16/08/2005	16/08/2006	Waiver
CASS4.3.99 (2)	First State Investment Management (UK) Limited	119367	02/02/2005	01/05/2005	Waiver
CASS4.3.99 (2)	First State Investments (UK) Limited	143359	08/12/2006	08/03/2007	Waiver
CASS4.3.99 (2)	First State Investments (UK) Limited	143359	11/12/2007	11/03/2008	Waiver
CASS4.3.99 (2)	Henderson Global Investors Limited	121857	08/04/2005	07/07/2005	Waiver
CASS4.3.99 (2)	Henderson Global Investors Limited	121857	04/12/2006	04/02/2007	Waiver
CASS4.3.99 (2)	Henderson Rowe Ltd	401809	01/12/2006	01/03/2007	Waiver
CASS4.3.99 (2)	Investec Wealth & Investment Limited	124537	17/09/2004	17/12/2004	Waiver
CASS4.3.99 (2)	Irwin Mitchell	127038	28/02/2005	28/05/2005	Waiver
CASS4.3.99 (2)	Morgan Stanley Investment Management Limited	121920	10/02/2006	09/05/2006	Modification
CASS4.3.99 (2)	RBS Collective Investment Funds Limited	122139	26/11/2007	26/02/2008	Waiver
CASS4.3.99 (2)	RBS Financial Products Plc	149244	29/09/2004	29/12/2004	Waiver
CASS4.3.99 (2)	Witan Investment Services Limited	446227	04/12/2006	04/02/2007	Waiver
CASS4.3.104	Credit Suisse AG	119206	11/07/2006	30/06/2008	Modification
CASS4.3.104	Credit Suisse International	146702	11/07/2006	30/06/2008	Modification
CASS4.3.104	Credit Suisse Securities (Europe) Ltd	124611	11/07/2006	30/06/2008	Modification
CASS4.3.104	Elevate Portfolio Services Limited	144849	22/12/2004		Modification
CASS4.3.104	Goldman Sachs International	142888	17/01/2005	30/04/2006	Modification
CASS4.3.104	Goldman Sachs International	142888	27/06/2006	26/06/2008	Modification
CASS4.3.104	Goldman Sachs International	142888	09/08/2006	08/08/2008	Modification
CASS4.3.104	Lehman Brothers International (Europe)	147475	09/02/2007	09/02/2010	Modification

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CASS4.3.104	T U Fund Managers Ltd	122346	14/06/2006	13/09/2006	Waiver
CASS4.3.105	Aberdeen Fund Managers Limited	121803	09/09/2008	08/12/2008	Modification
CASS4.3.105	Charterhouse General Partners (IX) Limited	122148	10/05/2007	09/05/2012	Modification
CASS4.3.105	Edinburgh Portfolio Limited	144851	09/09/2008	08/12/2008	Modification
CASS4.3.105	Goldman Sachs International	142888	17/01/2005	30/04/2006	Modification
CASS4.3.105	Goldman Sachs International	142888	27/06/2006	26/06/2008	Modification
CASS4.3.105	Goldman Sachs International	142888	09/08/2006	08/08/2008	Modification
CASS4.3.105	Lehman Brothers International (Europe)	147475	09/02/2007	09/02/2010	Modification
CASS4.3.105	Morgan Stanley & Co. International Plc	165935	25/04/2007	24/04/2010	Modification
CASS4.3.105	Morgan Stanley Securities Ltd	139238	25/04/2007	24/04/2010	Modification
CASS4.3.105 (1)	Credit Suisse AG	119206	11/07/2006	30/06/2008	Modification
CASS4.3.105 (1)	Credit Suisse International	146702	11/07/2006	30/06/2008	Modification
CASS4.3.105 (1)	Credit Suisse Securities (Europe) Ltd	124611	11/07/2006	30/06/2008	Modification
CASS4.3.105 (1)	J.P. Morgan Securities plc	155240	06/07/2006	26/06/2008	Modification
CASS4.3.105 (1)	Lehman Brothers International (Europe)	147475	14/09/2004	30/04/2006	Modification
CASS4.3.105 (1)	Royal London Savings Limited	191237	28/03/2007	31/10/2007	Modification
CASS4.3.105 (1)	SPARK Venture Management Limited	147593	26/11/2007	25/11/2008	Modification
CASS4.3.105 (1)	UBS (2003) Limited	124360	15/08/2006	15/08/2008	Modification
CASS4.3.105 (1)	UBS (2003) Limited	124360	15/08/2006	15/08/2008	Modification
CASS4.3.105 (1)	UBS International UK Limited	145873	15/08/2006	15/08/2008	Modification
CASS4.3.105 (1)	UBS International UK Limited	145873	15/08/2006	15/08/2008	Modification
CASS4.3.105 (1)	UBS Securities Limited	124362	15/08/2006	15/08/2008	Modification
CASS7.4.1	Newedge Group	183415	31/12/2010	30/06/2011	Modification
CASS7.4.1	Newedge Group	183415	20/05/2011	01/12/2011	Modification
CASS11.4.2 (R)	Foundation for Credit Counselling	729047	21/02/2018	20/02/2020	Modification
CASS5.4.4 (5)	Dashwood Brewer & Phipps Ltd	464294	23/04/2007	22/04/2010	Modification
CASS5.4.4 (5)	Price Forbes & Partners Limited	449988	21/09/2006	20/09/2009	Modification
CASS7.4.7	Capita Life & Pensions Regulated Services Limited	145540	04/09/2009	03/09/2014	Modification
CASS7.4.7	Capita Life & Pensions Regulated Services Limited	145540	22/08/2014	21/08/2015	Modification
CASS7.4.8	Capita Life & Pensions Regulated Services Limited	145540	04/09/2009	03/09/2014	Modification

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CASS7.4.8	Capita Life & Pensions Regulated Services Limited	145540	22/08/2014	21/08/2015	Modification
CASS7.4.9	Lehman Brothers International (Europe)	147475	31/08/2012	28/02/2014	Waiver
CASS7.4.9	Lehman Brothers International (Europe)	147475	28/02/2015	29/02/2016	Waiver
CASS7.4.9	Lehman Brothers International (Europe)	147475	28/02/2014	28/02/2015	Waiver
CASS7.4.9	Woodside Corporate Services Limited	467652	13/01/2015	12/02/2015	Waiver
CASS7.4.9	Woodside Corporate Services Limited	467652	13/02/2015	12/03/2015	Waiver
CASS7.4.9A (R)	Woodside Corporate Services Limited	467652	19/03/2015	05/04/2015	Modification
CASS5.5.16	Swinton Group Ltd	309599	14/01/2005	31/10/2005	Waiver
CASS5.5.64	Kerry London Limited	308255	07/11/2005	30/11/2005	Modification
CASS5.5.80	Exchange Insurance Services Limited	311617	13/09/2017	12/12/2017	Modification
CASS5.5.80	Maestro Insurance Services Ltd	302631	15/02/2018	14/05/2018	Waiver
CASS5.5.80	Marsh Ltd	307511	17/02/2011	17/05/2011	Modification
CASS5.5.80	Northern Alliance Brokers Limited	490541	13/09/2017	12/12/2017	Modification
CASS5.5.80	PLLS Ltd	311738	03/04/2012	03/07/2012	Modification
CASS5.5.80	Woodstock Insurance Brokers Limited	310549	13/12/2012	13/06/2013	Modification
CASS5.5.80 (2)	Choicequote Insurance Services Ltd	308987	04/03/2015	04/06/2015	Modification
CASS5.5.80 (2)	FirstCity Partnership Limited	310037	19/05/2010	19/08/2010	Waiver
CASS5.5.80 (2)	Marsh Brokers Limited	310240	14/10/2010	14/01/2011	Modification
CASS5.5.80 (2)	Nargold Limited	308334	09/07/2010	09/10/2010	Waiver
CASS5.5.80R (2)	The Insurance Partnership Services Ltd	312916	16/09/2015	16/12/2015	Modification
CASS2.6.2	Apax Partners UK Ltd	119175	10/10/2007	09/10/2012	Modification
CASS2.6.2	Change Capital Partners LLP	217452	13/07/2006		Modification
CASS2.6.2	Graphite Capital Management LLP	434062	12/12/2006	11/12/2011	Modification
CASS2.6.2	Indigo Capital LLP	466760	02/07/2007	01/07/2012	Modification
CASS2.6.2	Indigo Capital Partners Limited	190610	02/03/2004		Waiver
CASS2.6.6	Citibank, N.A.	124704	10/11/2006	09/11/2009	Modification
CASS5.6.7	FirstCity Partnership Limited	310037	04/06/2010	03/06/2011	Modification
CASS5.6.7	NDF Administration Limited	138124	26/10/2009	25/10/2010	Modification
CASS5.6.7 (2)	NDF Administration Limited	138124	26/11/2009	25/05/2010	Modification
CASS5.6.9	BPS Insure Limited	310318	11/05/2005	18/05/2005	Modification

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CASS5.6.9	FirstCity Partnership Limited	310037	04/06/2010	03/06/2011	Modification
CASS5.6.9	MHASLH LIMITED	309374	29/06/2016	23/09/2016	Modification
CASS5.6.9	NDF Administration Limited	138124	26/10/2009	25/10/2010	Modification
CASS2.6.10	Citibank, N.A.	124704	10/11/2006	09/11/2009	Modification
CASS6.6.24 (R)	Citibank, N.A.	124704	01/02/2017	31/01/2022	Modification
CASS6.6.37	Brewin Dolphin Limited	124444	20/03/2018	19/03/2021	Modification
CASS6.6.35R	Brewin Dolphin Limited	124444	20/03/2018	19/03/2021	Modification
CASS5.6.7R	MHASLH LIMITED	309374	23/06/2016	23/09/2016	Modification
CASS7.7.2	NDF Administration Limited	138124	26/10/2009	03/11/2009	Waiver
CASS7.9.9	Lehman Brothers International (Europe)	147475	25/10/2018	24/10/2019	Modification
CASS7.9.11	Lehman Brothers International (Europe)	147475	22/10/2008	21/10/2009	Modification
CASS7.9.6R ((2)	Lehman Brothers International (Europe)	147475	25/10/2018	24/10/2019	Modification
CASS7.11.34	IWI FUND MANAGEMENT LIMITED	190607	02/06/2017	02/09/2017	Modification
CASS7.11.34	Legg Mason Investments (Europe) Limited	121831	20/04/2017	20/07/2017	Modification
CASS7.11.34	M & G Financial Services Limited	122058	11/11/2015	10/02/2016	Waiver
CASS7.11.34	Pershing Securities Ltd	146576	26/01/2017	25/04/2017	Modification
CASS7.11.34	Prudential Unit Trusts Limited	122008	09/11/2015	09/02/2016	Waiver
<b>CASS7.11.34</b>	<b>Standard Life Investments (Mutual Funds) Limited</b>	<b>146477</b>	<b>22/11/2018</b>	<b>22/02/2019</b>	<b>Modification</b>
CASS7.11.34 (2)	Henderson Global Investors Limited	121857	30/10/2015	31/03/2016	Modification
CASS7.11.34 (2R)	RBS Asset Management (ACD) Ltd	437090	01/02/2018	01/05/2018	Modification
CASS7.11.34 (R)	BDDL Limited	114359	24/04/2017	24/07/2017	Modification
CASS7.11.34 (R)	Brewin Dolphin Limited	124444	09/03/2016	08/06/2016	Modification
CASS7.11.34 (R)	Franklin Templeton Investment Management Limited	121779	18/05/2016	19/08/2016	Waiver
CASS7.11.34 (R)	Jessop Fund Managers Limited	452904	26/04/2016	25/07/2016	Modification
CASS7.11.34 (R)	Pershing Securities Ltd	146576	16/11/2016	16/02/2017	Waiver
CASS7.11.34 (R)	Schroder Investments Limited	122305	21/11/2016	20/02/2017	Modification
CASS7.11.41 (G)	BDDL Limited	114359	24/04/2017	24/07/2017	Modification
CASS7.11.42	Avalon Investment Services Limited	190602	19/02/2016	04/03/2016	Modification
CASS7.11.42	European Pensions Management Limited	461099	04/07/2016	19/07/2016	Modification
CASS7.11.42	Interactive Investor Trading Limited	190551	04/12/2017	03/03/2018	Waiver

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CASS7.11.42	Jupiter Asset Management Limited	141274	27/11/2015	26/02/2016	Modification
<b>CASS7.11.42</b>	<b>Tcam Asset Management Limited</b>	<b>550227</b>	<b>30/11/2018</b>	<b>28/02/2019</b>	<b>Modification</b>
CASS7.11.42 (R)	BDDL Limited	114359	24/04/2017	24/07/2017	Modification
CASS7.11.42 (R)	Brewin Dolphin Limited	124444	22/09/2015	22/12/2015	Waiver
CASS7.11.42 (R)	European Pensions Management Limited	461099	20/06/2016	11/07/2016	Modification
CASS7.11.42 (R)	Gartmore Investment Limited	119236	30/11/2015	31/03/2016	Modification
CASS7.11.42 (R)	Halifax Investment Services Ltd	149722	07/10/2016	07/01/2017	Modification
CASS7.11.42 (R)	Interactive Investor Services Limited	141282	04/12/2017	03/03/2018	Modification
CASS7.11.42 (R)	Legg Mason Investments (Europe) Limited	121831	27/06/2016	27/09/2016	Modification
CASS7.11.46	Gartmore Investment Limited	119236	30/11/2015	31/03/2016	Modification
CASS7.11.46	Henderson Global Investors Limited	121857	30/10/2015	31/03/2016	Modification
CASS7.11.47	Avalon Investment Services Limited	190602	19/02/2016	04/03/2016	Modification
CASS7.11.47	European Pensions Management Limited	461099	04/07/2016	19/07/2016	Modification
CASS7.11.50	Aviva Investors UK funds Limited	147088	04/04/2017	03/07/2017	Modification
CASS7.11.50	FIL Investments International	122170	05/08/2016	04/09/2016	Modification
CASS7.11.50	Jupiter Asset Management Limited	141274	27/11/2015	26/02/2016	Modification
CASS7.11.50	Societe Generale	124866	20/04/2016	20/07/2016	Waiver
CASS7.11.50	The Bank of Nova Scotia	141308	21/09/2016	20/12/2016	Modification
CASS7.11.50	Tilney Collective Management Limited	170547	12/11/2015	11/02/2016	Modification
CASS7.11.50 (1)	Smith & Williamson Investment Services Limited	131816	19/08/2015	18/11/2015	Modification
CASS7.11.50 (3)	First State Investments (UK) Limited	143359	10/11/2016	31/01/2017	Modification
CASS7.11.50 (R)	Aviva Investors UK Fund Services Limited	119310	04/04/2017	03/07/2017	Modification
CASS7.11.50 (R)	Baillie Gifford Savings Management Limited	150233	18/05/2016	18/08/2016	Waiver
CASS7.11.50 (R)	Gain Capital UK Limited	113942	25/04/2018	24/10/2018	Modification
CASS7.11.50 (R)	Interactive Investor Services Limited	141282	10/10/2016	09/01/2017	Modification
CASS7.11.50 (R)	Invesco Fund Managers Limited	119298	29/09/2016	28/12/2016	Waiver
CASS7.11.50 (R)	Invesco Fund Managers Limited	119298	11/01/2018	10/04/2018	Modification
CASS7.11.50 (R)	Martin Currie Investment Management Ltd	119289	19/05/2016	18/08/2016	Modification
CASS7.11.50 (R)	Threadneedle Investment Services Limited	190437	10/01/2017	31/12/2019	Modification
CASS7.11.52 (E)	Aberdeen Asset Investments Limited	193707	09/07/2015	08/10/2015	Modification

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CASS7.11.57	Royal Liver Asset Managers Limited	197410	20/06/2017	20/06/2018	Modification
CASS7.11.57	Scottish Widows Unit Trust Managers Limited	122129	22/01/2018	21/04/2018	Modification
CASS7.11.57 (R)	Gain Capital UK Limited	113942	25/04/2018	24/10/2018	Modification
CASS7.11.57 (R)	Martin Currie Investment Management Ltd	119289	19/05/2016	18/08/2016	Modification
CASS7.11.57 (R)	Royal London Unit Trust Managers Limited	144037	20/06/2017	20/06/2018	Modification
CASS7.11.34R	Brewin Dolphin Limited	124444	18/04/2016	17/07/2016	Modification
CASS7.11.34R	Citibank International Limited	122342	16/10/2015	15/01/2016	Waiver
CASS7.11.34R	FIL Investments International	122170	19/09/2016	19/12/2016	Modification
CASS7.11.34R	Legal & General (Portfolio Management Services) Ltd	146786	10/09/2016	09/12/2016	Modification
CASS7.11.34R	Quilter Investors Limited	208543	22/02/2018	21/05/2018	Modification
CASS7.11.34R (2a)	Pershing Securities Ltd	146576	20/11/2017	20/02/2018	Waiver
CASS7.11.34R (2a)	Pershing Securities Ltd	146576	18/09/2015	18/12/2015	Modification
CASS7.11.34R (2a)	Pershing Securities Ltd	146576	09/03/2016	08/06/2016	Modification
CASS7.11.41G (1)	Brewin Dolphin Limited	124444	22/09/2015	22/12/2015	Waiver
CASS7.11.42R	BlackRock Investment Management (UK) Limited	119293	12/10/2017	11/01/2018	Modification
CASS7.11.42R (3)	Clerical Medical Investment Fund Managers Ltd	171278	24/08/2017	24/11/2017	Modification
CASS7.11.50R	Abbey Stockbrokers Limited	154210	02/02/2018	01/05/2018	Modification
CASS7.11.50R	BlackRock Advisors (UK) Limited	119186	12/10/2016	11/01/2017	Modification
CASS7.11.50R	BlackRock Fund Managers Limited	119292	12/10/2016	11/01/2017	Modification
CASS7.11.50R	BlackRock Fund Managers Limited	119292	29/05/2018	28/11/2018	Modification
CASS7.11.50R	BlackRock Investment Management (UK) Limited	119293	12/10/2016	11/01/2017	Modification
CASS7.11.50R	BlackRock Investment Management (UK) Limited	119293	29/05/2018	28/11/2018	Modification
CASS7.11.50R	Halifax Investment Services Ltd	149722	17/08/2016	16/11/2016	Modification
CASS7.11.50R	HSBC Trust Company (UK) Ltd	119297	09/01/2017	08/04/2017	Waiver
CASS7.11.50R	Legg Mason Investment Funds Limited	172614	10/04/2018	09/07/2018	Modification
CASS7.11.50R	Legg Mason Investments (Europe) Limited	121831	01/11/2016	31/01/2017	Modification
CASS7.11.50R (3)	M&G Alternatives Investment Management Limited	122011	28/12/2016	21/03/2017	Modification
CASS7.11.57R	HSBC Trust Company (UK) Ltd	119297	09/01/2017	08/04/2017	Waiver
CASS7.11.57R (2)	Royal Bank of Canada Investment Management (USA) Limited	186618	27/09/2018	26/03/2019	Modification
CASS7.11.57R (3)	M&G Alternatives Investment Management Limited	122011	28/12/2016	21/03/2017	Modification



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CASS7.13.6	Daiwa Capital Markets Europe Limited	124490	06/09/2017	05/09/2022	Modification
CASS7.13.13 (3)	IG Index Limited	114059	27/07/2017	27/02/2018	Modification
CASS7.13.13 (3)	Redmayne-Bentley LLP	499510	19/07/2017	18/07/2018	Modification
CASS7.13.13 (3)	Spreadex Limited	190941	24/08/2017	31/03/2018	Modification
CASS7.13.13 (3R)	Equiniti Financial Services Limited	468631	15/09/2017	31/03/2018	Modification
CASS7.13.13 (R)	Integrated Financial Arrangements LTD	190856	31/05/2017	30/05/2018	Modification
CASS7.13.13 (R)	LGT Vestra LLP	471048	27/07/2017	26/07/2018	Modification
CASS7.13.13 (R3)	Financial Administration Services Limited	122169	05/10/2017	09/02/2018	Modification
CASS7.13.13R	Charles Stanley & Co Ltd	124412	21/07/2017	20/07/2018	Modification
CASS7.13.13R	Nucleus Financial Services Ltd	456117	12/10/2017	31/03/2018	Modification
CASS7.13.13R (3)	CMC Markets UK plc	173730	24/08/2017	31/03/2018	Modification
CASS7.13.13R (3)	CMC Spreadbet Plc	170627	24/08/2017	31/03/2018	Modification
CASS7.13.13R (3)	Hargreaves Lansdown Asset Management Limited	115248	03/04/2017	02/04/2018	Modification
CASS7.13.13R (3)	Interactive Investor Services Limited	141282	11/05/2017	10/05/2018	Modification
CASS7.13.13R (3)	Marex Financial	442767	02/08/2017	01/08/2018	Modification
CASS7.13.13R (3)	Platform Securities LLP	214206	03/07/2017	06/02/2018	Modification
CASS7.13.13R (3)	Smith & Williamson Investment Services Limited	131816	29/08/2017	31/03/2018	Modification
CASS7.13.3R (3)	IG Markets Limited	195355	27/07/2017	27/02/2018	Modification
CASS11.47.R	European Pensions Management Limited	461099	20/06/2016	11/07/2016	Modification