



Ruleguard are proud sponsors of The CASS Academy

Controlling CASS Compliance



Proving CASS compliance can be complex. Follow our handy checklist to make it less challenging for your firm:

1

Run private mock FCA interviews with key in-house personnel.

2

Ask your system owners to run 'share & tell' demos for the CASS community.

3

Choose your most dreaded questions and run tests on them.

- ✓ Recognise what rules apply to your business, especially if your business model changes.
- ✓ Identify your CASS risks. Do you have the correct mitigating controls and documented procedures in place?
- ✓ Select competent stakeholders to monitor and learn about your CASS vulnerabilities.
- ✓ Report regularly to the board to enable the right governance and effective risk management.

- ✓ Request senior management to review and respond to documents, making recommendations and decisions.
- ✓ Detect vulnerabilities and risks and act upon these.
- ✓ Communicate internally and externally to discuss changes, improvements and follow up procedures.

Navigate, Detect, Communicate!

BOOK ME IN!