

Prin10

AxiomHQ®



Prin10 CASS Package for Axiom

Expert CASS framework
CASS technical support
Axiom for CASS masterclasses
CASS training workshop programme



Prin10 CASS Package for Axiom Features

- Standard Axiom functionality
- CASS Rule feed and monthly updates
- Use of Prin10 expert content
- Prompt updates of Prin10 expert content
- Access to the Prin10 reference site
- CASS technical support
- Axiom for CASS masterclasses
- CASS training workshop programme

Prin10 CASS Package for Axiom

The Prin10 CASS package for Axiom provides a comprehensive and granular CASS risk framework comprising logical groupings of rules into topics with insightful commentary, mapped to over 600 carefully curated control objectives and risks covering CASS 1, 3, 6, 7, 8 & 10. The package is provided by Kevin Huby who is one of the most experienced and highly regarded CASS consultants in the industry, and a long time strategic partner to AxiomHQ.

The package for Axiom offers unique access to Kevin's expertise in the use of Axiom for effective CASS compliance as well as his vast CASS technical and investment industry knowledge in general.

Key offerings

Prin10 framework and expert commentary

The Prin10 framework and expert commentary is updated promptly for CASS rule changes as well as for emerging industry good practice and interpretation. Many firms have found this to be an indispensable aid to meeting the current demands of CASS compliance and audits.

Prin10 reference site

The reference site provides "true to life" examples of good practice process and control definition and mapping, effective use of Axiom's record management capabilities and reminder/attestation functionality and design of MI reports for robust and efficient CASS compliance assurance and oversight.

CASS technical support

Prin10 provides confidential support for ad hoc CASS technical queries, including rule interpretation and audit queries, via email at AxiomCASS@prin10.co.uk. Responses will generally be provided within 48 hours.

Training & Development



Axiom for CASS masterclasses

From March 2019, Prin10 will be delivering in-depth masterclasses in the use of Axiom for CASS compliance. These half-day masterclasses will be held in key locations, including London, Edinburgh and Bristol, at least twice per year.

CASS training programme

Starting in June 2019, Prin10 will be offering its highly-regarded CASS training programme to Axiom users including:

- Introduction to CASS
- CASS 6 & 7 technical
- Custody and client money record keeping and reconciliations
- CASS governance and oversight
- Managing CASS audits

These full-day or half-day training workshops will be held in London, Edinburgh and Bristol at least twice per year.

PRIN10

Prin10 is a specialist CASS consultancy led by Kevin Huby, a chartered accountant and experienced business advisor to the financial services industry who has previously held senior consulting positions at the Big 4 firms as well as executive management positions.

Kevin has 25 years' experience of client assets regulation and supported over 50 companies with CASS advisory, assurance and training services covering leading banks, asset managers, investment platforms, insurers and third-party administrators. He has also acted as the controlled function holder for CASS Operational Oversight (CF10a) for three firms

For more information: www.prin10.co.uk

AxiomHQ®

AxiomHQ is an industry-leading provider of regulatory compliance solutions for the financial services industry with a focus on FCA regulations. Our SaaS-delivered software platform Axiom has been designed to manage the complex and burdensome issues associated with regulatory compliance, especially when processes and procedures in place are manual and fragmented widely across multiple departments and systems.

Our Axiom for CASS solution will enable you to show regulators and auditors how your business has complied with the CASS rules, including providing effective governance and oversight to your firm.

For more information: www.axiomhq.com

Simplifying CASS

For queries, please email:

AxiomCASS@prin10.co.uk

AxiomHQ
Warnford Court
29 Throgmorton St
London
EC2N 2AT
Phone: 020 3965 2166
Email: hello@axiomhq.com