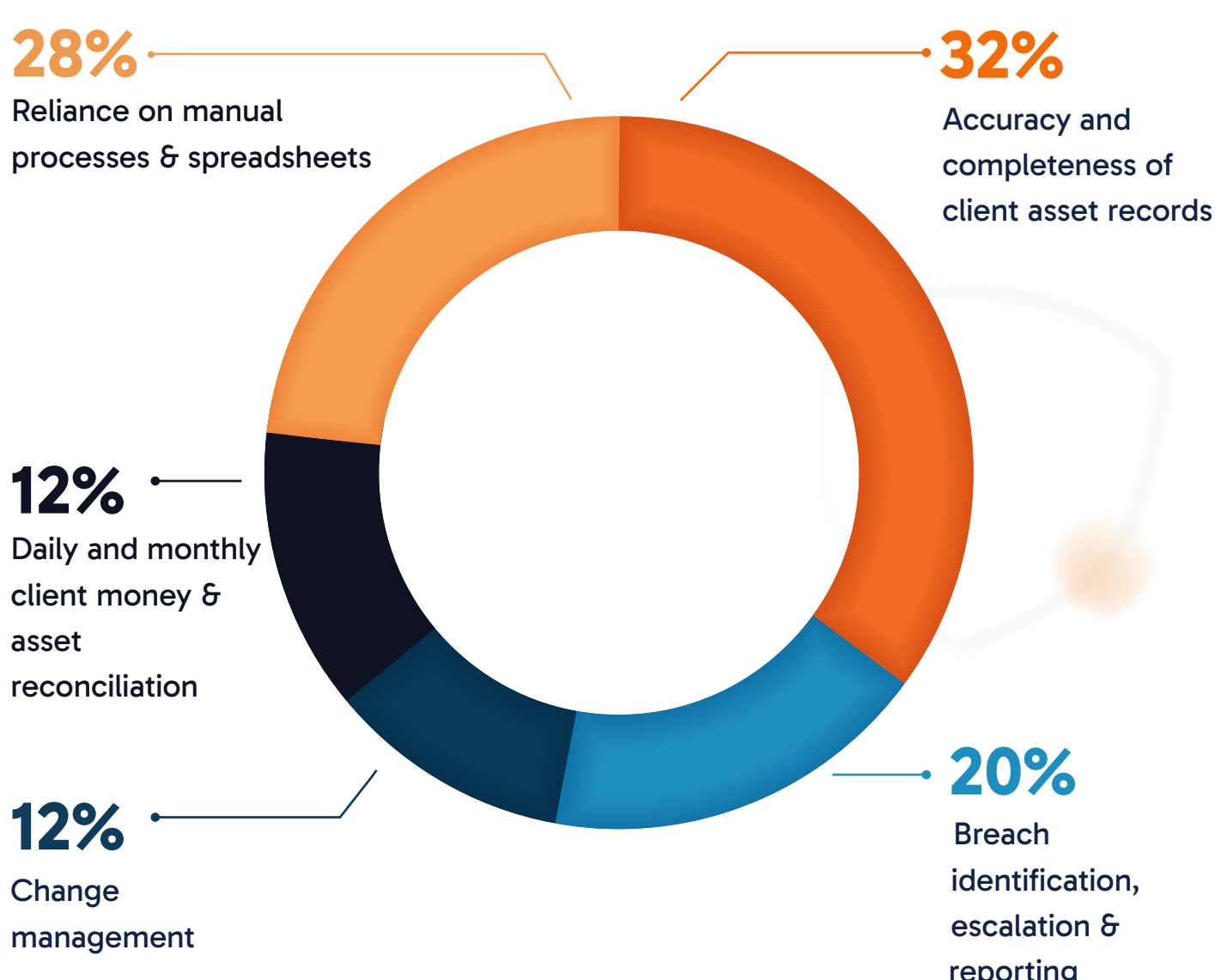


From Records to Responsibility: The CASS Risks Firms Can't Ignore



As part of the **Client Asset Protection & Compliance webinar**, attendees took part in a brief survey exploring where CASS issues most often arise within their firms and identifying the regulatory developments having the greatest impact on their client asset frameworks.

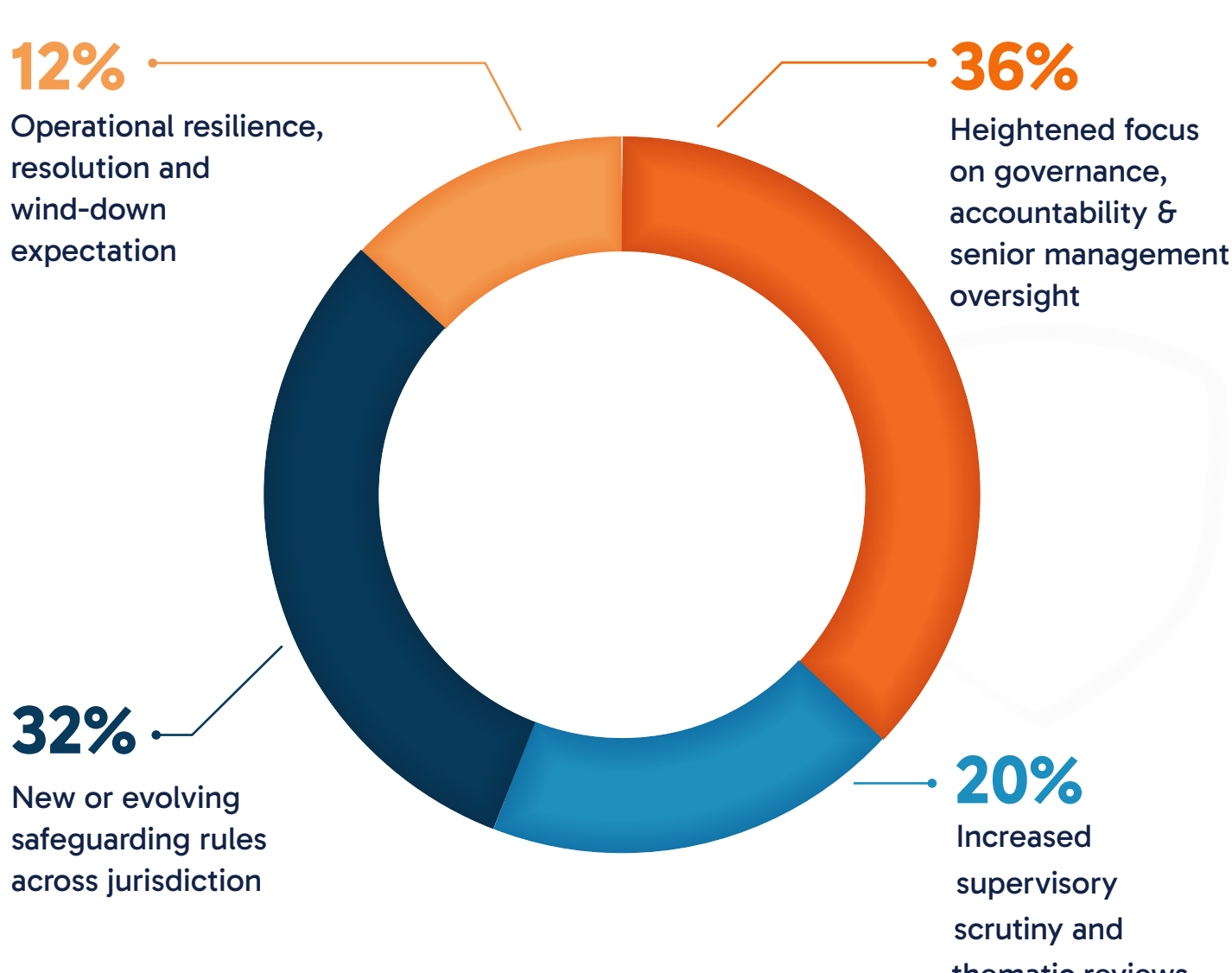
Where do CASS issues most often arise in your firm?



Firms need to address record keeping. The integrity of client assets records must be a board-level risk issue given the heightened focus from regulators on safeguarding.

Priscilla Gaudoin, Ruleguard's Head of Risk and Compliance

Which regulatory development is having the greatest impact on your client asset framework?



The bar on personal accountability for safeguarding failures has risen. Governance structures are scrutinised as closely as control frameworks. Firms must understand their regulatory universe and evidence understanding and ownership.

Priscilla Gaudoin, Ruleguard's Head of Risk and Compliance



Assess your CASS framework today

Use our practical CASS Checklist to identify gaps and strengthen your client asset controls.

[Download the CASS Checklist](#)

Ready to go further?

**Book Your Personalised
Discovery Call Today**

Let's Talk! →

See how Ruleguard helps firms proactively manage CASS risk and regulatory change.

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