



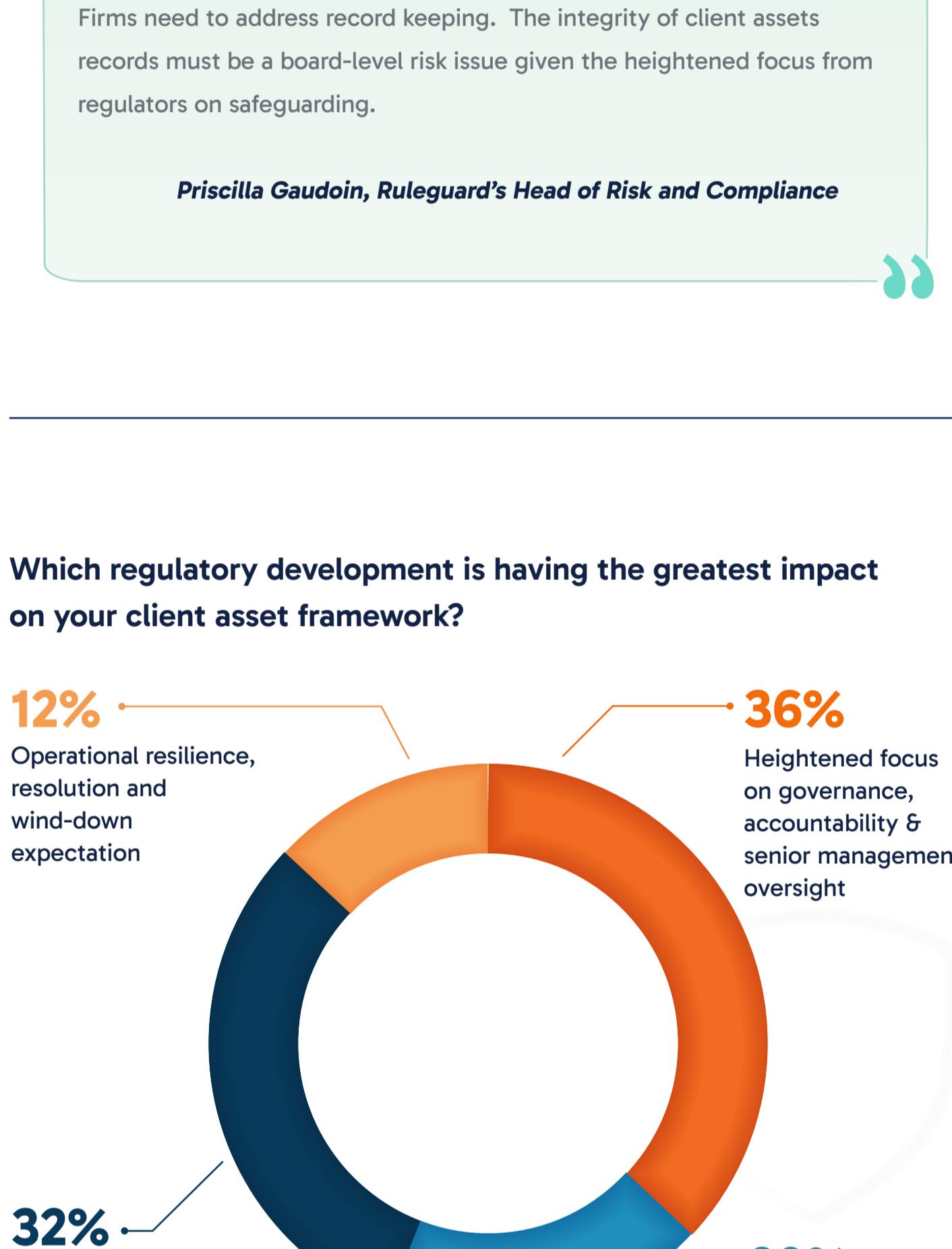
# Ruleguard

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



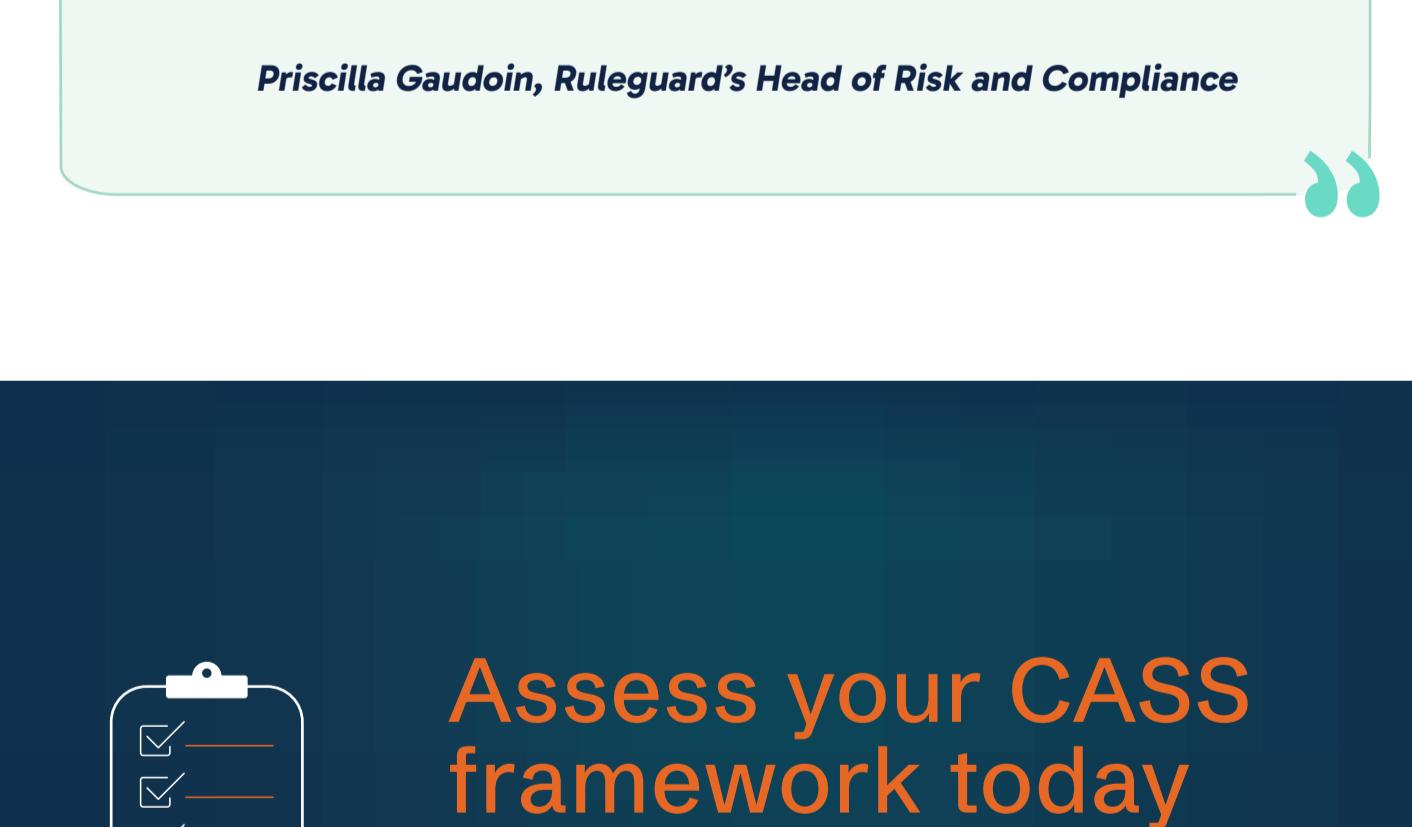
As part of the **Client Asset Protection & Compliance** webinar, attendees took part in a brief survey exploring where CASS issues most often arise within their firms and identifying the regulatory developments having the greatest impact on their client asset frameworks.

### 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*



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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