



Investment Management Firm Strengthens CASS & Operational Oversight with Ruleguard

The Organisation

A UK-based investment management firm sought to modernise and centralise its governance and compliance framework across operational risk, CASS oversight and third-party management.

Operating in a highly regulated environment, the firm required greater visibility, structured attestation processes and stronger audit readiness, without increasing operational burden.



Challenges faced by the firm

01 Digitise operational and IT control checklists

02 Improve visibility of task completion and supporting evidence

03 Strengthen CASS rules, risks and control oversight

04 Formalise supplier governance processes

05 Introduce structured policy attestations

06 Prepare for upcoming FCA regulatory changes

Implementation coincided with internal audit activity and competing operational demands, requiring a solution that was intuitive, scalable and quick to embed.

The Solution

The firm implemented Ruleguard across multiple governance workflows.

Operational Task & Evidence Management

Manual checklists were migrated into Ruleguard, creating structured workflows with automated notifications and clear audit trails.

Operational and IT teams quickly adopted the system, independently managing recurring controls and uploading evidence directly within the platform.

CASS Rules, Risks & Controls

CASS requirements were configured within Ruleguard, supported by:

- Structured control assessments
- Linked attestations
- Centralised visibility of compliance activity

The platform also supported coordination with a key outsourced transfer agency provider, strengthening oversight across third-party CASS responsibilities.

Policy Governance & Attestations

Rather than replacing existing document repositories, the firm used Ruleguard as a governance layer, maintaining a structured directory of policies with linked attestations, ownership tracking and review workflows.

Operational and IT teams quickly adopted the system, independently managing recurring controls and uploading evidence directly within the platform.

Supplier Oversight

A structured supplier oversight framework was introduced, enabling consistent third-party governance and staged implementation testing before full rollout.

The Impact

- 01 Rapid adoption by operational teams
- 02 Scalable infrastructure for regulatory change management
- 03 Strengthened CASS oversight and control assurance
- 04 Enhanced third-party governance capability
- 05 Improved visibility and audit readiness

The firm transitioned into a structured monthly governance cadence with Ruleguard's Customer Success team, ensuring continued optimization and alignment with evolving regulatory requirements.

Client Feedback



"The teams have moved into the system and are comfortable using it. They're adding and editing tasks themselves, it's working well."



"We're very happy with the functionality."



"It provides a directory of published policies with attestations linked to them and that's working well."

Strategic Outcomes

By embedding Ruleguard across operational risk, CASS oversight and policy governance, the investment management firm strengthened control assurance while maintaining operational efficiency.

The result is structured regulatory oversight without operational friction, and a future-ready compliance framework built to scale with regulatory change.



Strengthen CASS oversight and operational governance at your firm.

Book a discovery call →

Book a short Ruleguard demo to see how it works.

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