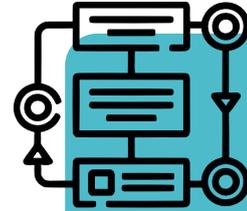


Ruleguard are proud sponsors of The CASS Academy

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!

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