

# RISK ASSESSMENT

Overall Rank	Primary Category	# of Risks	Risk Score
1	Unregistered Entities/Offerings	79	11.57
2	Compliance	139	10.56
3	Fraud	52	12.08
4	IA/BD suitability	60	11.16
5	custody	52	11.46
6	Outsourcing	34	11.82
7	Portfolio Mgmt	52	9.52
8	Disclosure	46	9.59
9	Fin. Solvency	34	9.89
10	B&R	27	12.79
11	Marketing	31	10.23
12	valuation	30	10.20
13	fund gov	30	9.52
14	trading platforms	21	11.67
15	Branches	20	12.30
16	Undisclosed Remuneration	24	11.38
17	Order Handling & Exec	25	8.98
18	margin	9	12.59
19	AML	9	11.41
20	Insider Trading	19	8.48
21	Privacy	11	6.55
22	Fund dist	7	9.55
23	BCP	3	8.89

①  
⑤  
⑪  
⑭  
⑰  
21  
22  
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27  
30



500 risks source of:  
 300 - exams  
 100 - press  
 23 - news  
 21 - previous cup  
 5 - TP  
 5 - conference

↑ fraud  
 custody 15 → 5  
 discl. 25 → 8  
 solvency 26 → 9  
 fund gov 24 → 13

↓ insider trading 1 → 20  
 under # 4 → 16  
 privacy 10 → 21  
 AML 11 → 19  
 margin 12 → 18

word searches  
 stock lending  
 mini futures  
 misapp.  
 credit risk  
 liquidity

29 - legis.  
 +  
 29 - staff  
 western  
 50 - ed  
 83 - naive  
 awareness  
 true speech

500 recommended action  
 200 - focus area  
 144 - sweep  
 120 - training  
 110 - staff guidance  
 100 - write rule  
 85 - talk w/ others