

Risk analysis - DLT trading facility

Version 02/2025

Base data

Institut

Audit firm

Lead auditor

Start of audit year (prospective)

End of audit year (prospective)

Services according to FinfraG

- ☐ Trading
- ☐ Settlement
- ☐ Custody

Level

- ☐ Only single-entity level
- ☐ Single-entity and consolidated level (parent company structure)
- ☐ Only group-level (holding structure/atypical structure)

General risk assessment

Minimum capital, capital adequacy and risk diversification

Risk description

Impact / Extent

- ☐ low
- ☐ medium
- ☐ high
- ☐ very high
- ☐ n/a

Probability of occurrence

- ☐ low
- ☐ medium
- ☐ high
- ☐ very high

Inherent risk (gross)

Risk ranking (gross)

Control risk

- ☐ low
- ☐ medium
- ☐ high

Net risk

Risk ranking (net)

Liquidity

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Self-regulation and organization of trading

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Assurance of proper and transparent trading

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Reporting office and trade supervision

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Admission of participants and their obligations

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Admission of DLT securities and other assets

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Collateral and margin management

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Default management process

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Settlement

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Custody

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Segregation

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Specific requirements related to the provision of ancillary services

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Other risks from the legal, litigation and compliance area

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

General rules of conduct

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Corporate governance

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Overarching operational risk management

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Internal organisation / ICS

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

ICT risk management

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Cyber risk management

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Critical data risk management

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

BCM (business continuity management)

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Operational resilience

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Outsourcing

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Internal audit function

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Risk control function

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Compliance function

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Compliance with money laundering regulations

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Compliance with reporting duties

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Compliance with obligations relating to the additional operation of an organised trading facility

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Corporate governance at group level

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group functions for risk control and risk mitigation: Risk control function

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group functions for risk control and risk mitigation: Compliance function

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group internal audit

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group-wide liquidity management measures

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Compliance with capital adequacy and risk diversification requirements at group level

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Intra-group financing structures and contingent liabilities

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Credit risks at group level

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Market risks at group level

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Legal risks at group level

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

General rules of conduct at group level

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group-wide overarching operational risk management

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Internal organisation / ICS at group level

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group-wide ICT risk management

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group-wide cyber risk management

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group-wide critical data risk management

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group-wide BCM (business continuity management)

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Operational resilience at group level

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Outsourcing at group level

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Group-wide measures to combat money laundering

Risk description

Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>

Compliance with consolidated reporting duties

Risk description			
<input type="text"/>			
Impact / Extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	<input type="text"/>	<input type="text"/>
Control risk		Net risk	Risk ranking (net)
<input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		<input type="text"/>	<input type="text"/>