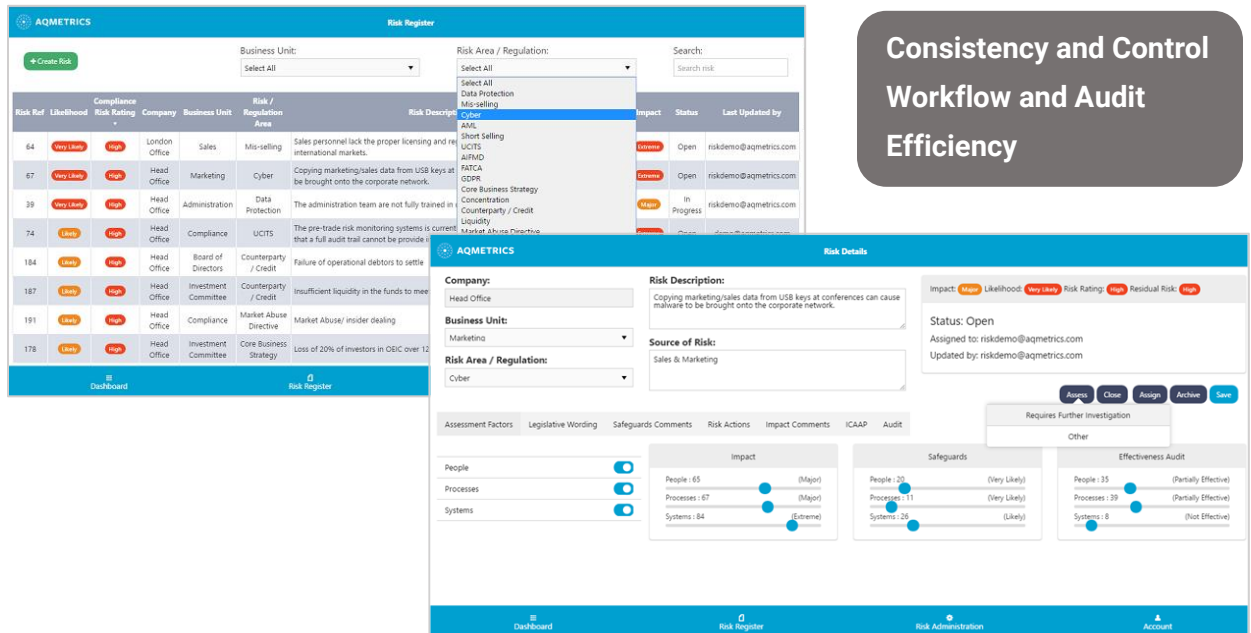


AQMetrics Risk Register

Manage your compliance risk with consistency and control.

What does the solution deliver?

- A streamlined risk register aligned with your firm's business operating model. Risks are input, assessed and reviewed in a **consistent** manner.
- A flexible risk workflow allows fully **controlled** risk management with flexible auditing.
- An **intuitive** risk dashboard provides insights into areas of risk concentration across your firm's business units.
- A powerful risk reporting tool with transparent reporting, ensuring alignment of risk **culture** and **code of conduct** across your firm.



The screenshot displays the AQMetrics Risk Register interface. On the left, a table lists various risks with columns for Risk Ref, Likelihood, Risk Rating, Company, Business Unit, Risk / Regulation Area, Risk Description, Impact, Status, and Last Updated by. A dropdown menu is open for the 'Risk Area / Regulation' column, showing options like AML, Short Selling, UCITS, etc. On the right, a 'Risk Details' panel provides a comprehensive view of a selected risk, including its description, source, and associated metrics. A callout box on the right highlights 'Consistency and Control Workflow and Audit Efficiency'.

Risk Ref	Likelihood	Risk Rating	Company	Business Unit	Risk / Regulation Area	Risk Description	Impact	Status	Last Updated by
64	Very Likely	High	London Office	Sales	Mis-selling	Sales personnel lack the proper licensing and regulatory knowledge to sell international markets.	Extreme	Open	riskdemo@aqmetrics.com
67	Very Likely	High	Head Office	Marketing	Cyber	Copying marketing/sales data from USB keys at be brought onto the corporate network.	Extreme	Open	riskdemo@aqmetrics.com
39	Very Likely	High	Head Office	Administration	Data Protection	The administration team are not fully trained in data protection. The pre-trade risk monitoring systems is current that a full audit trail cannot be provided.	Major	In Progress	riskdemo@aqmetrics.com
74	Likely	High	Head Office	Compliance	UCITS	The pre-trade risk monitoring systems is current that a full audit trail cannot be provided.	Major	Open	riskdemo@aqmetrics.com
184	Likely	High	Head Office	Board of Directors	Counterparty / Credit	Failure of operational debtors to settle.	Major	Open	riskdemo@aqmetrics.com
187	Likely	High	Head Office	Investment Committee	Counterparty / Credit	Insufficient liquidity in the funds to meet obligations.	Major	Open	riskdemo@aqmetrics.com
191	Likely	High	Head Office	Compliance	Market Abuse Directive	Market Abuse / insider dealing.	Major	Open	riskdemo@aqmetrics.com
178	Likely	High	Head Office	Investment Committee	Core Business Strategy	Loss of 20% of investors in OGIC over 12 months.	Major	Open	riskdemo@aqmetrics.com

Culture and conduct –
transparent reporting
and accountability



Why does your firm need a Risk Register?

Global regulations are increasingly requiring a **systematic approach for risk management**. Board-level awareness of critical risks and concentration of risks is mandated. Full accountability is required at operational, supervisory and board levels. Risk management must be auditable, transparent and provide independent assurance to a firm's board, its stakeholders and the regulatory authorities.

How easy is it to on-board data?

The AQMetrics Risk register can be **self-configured** using the Risk Administration screen or set up by the AQMetrics customer success team to match your business operating model. Existing risk register data can be auto-uploaded so that your firm is ready to use the risk register with minimal operational input.