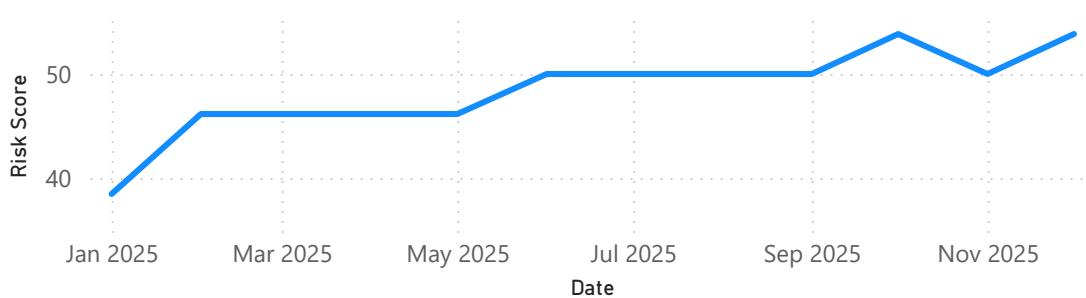


# Overview (Risk Posture on Average)

## Risk Score Trend



## Risk Score Overview

Team	Geneva	Hong Kong	London	New York	Singapore	Zurich
Client Onboarding	46.15	42.31	53.85	53.85	34.62	34.62
Compliance & Controls	30.77	50.00	46.15	38.46	42.31	42.31
Front Office	30.77	34.62	46.15	42.31	38.46	30.77
Operations	50.00	53.85	50.00	50.00	50.00	46.15

## Region

All
All

## BookingLocation

All
All

## Team

All
All

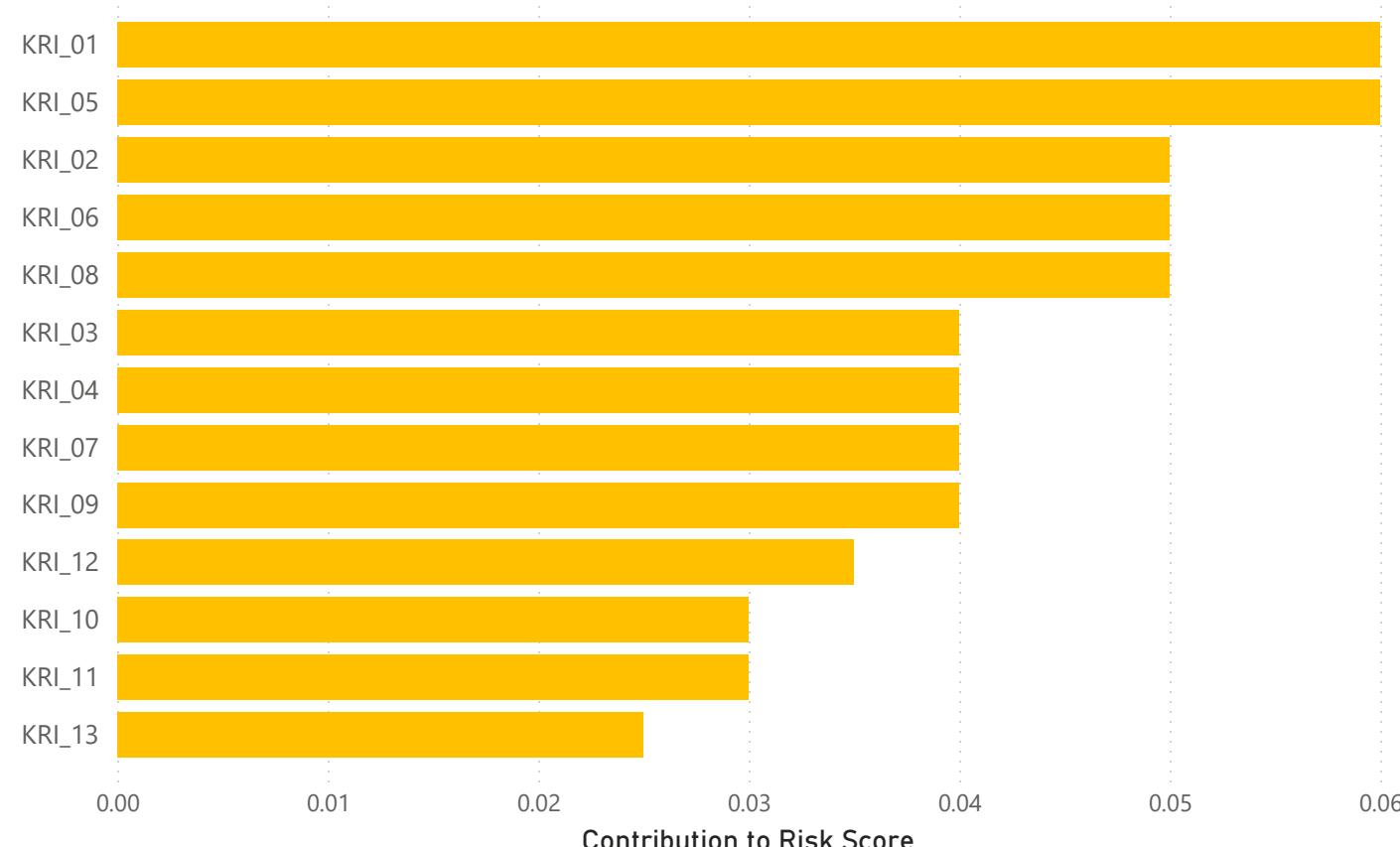
## Product

All
All

## YearMonth

1/1/2025		12/1/2025	
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## Top Risk Contributors



KRI_ID	KRI_Name	Value (Average)	Traffic Light	GreenMax	AmberMax
KRI_01	Incident rate per 1k transactions	0.06	Amber	0.07	0.30
KRI_02	Aged open incidents >30 days per 10k clients (month-end)	0.05	Amber	0.00	56.28
KRI_03	Client complaint rate per 10k clients	0.04	Amber	0.00	7.26
KRI_04	Substantiated complaints per 10k clients	0.04	Amber	0.00	8.22
KRI_05	Processing error rate per 1k transactions	0.06	Amber	0.17	1.09
KRI_06	Open items over SLA per 10k clients (month-end)	0.05	Amber	175.44	416.88
KRI_07	Overdue tasks per 10k clients (month-end)	0.04	Amber	0.00	46.00
KRI_08	KYC review overdue per 10k clients (month-end)	0.05	Amber	0.00	22.02
KRI_09	High-risk transactions per 1k transactions	0.04	Amber	0.09	0.48
KRI_10		0.03			
KRI_11		0.03			
KRI_12		0.035			
KRI_13		0.025			

# Top Risk Drivers (Average weighted contribution)

KRI\_05 : Processing error rate per 1k transactions (Red)

Largest Risk Driver

65/100

Risk Score (0-100)

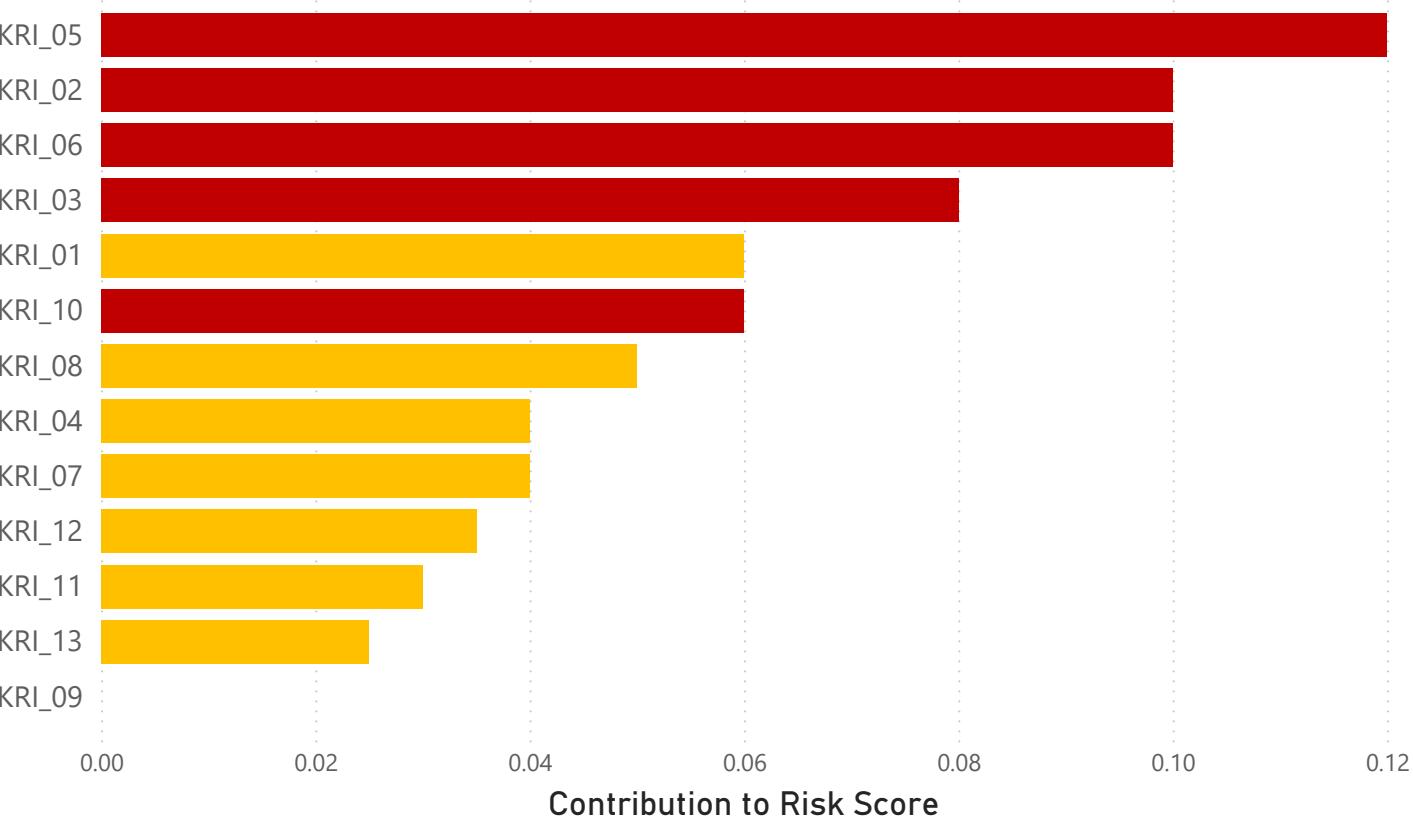
5

# Red KRI

7

# Amber KRI

## Top Risk Contributors



## Region

APAC

## BookingLocation

Hong Kong

## Team

Operations

## Product

All

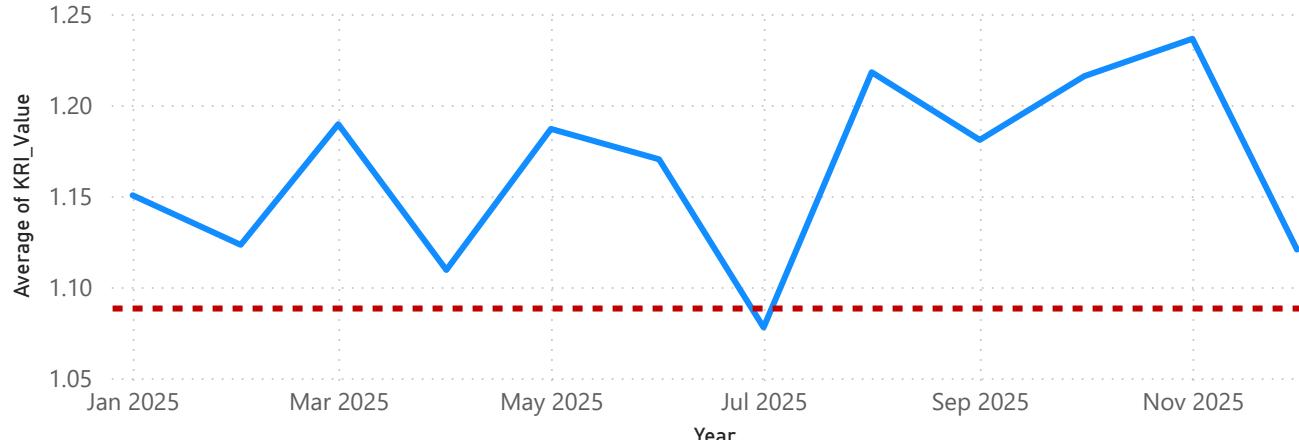
## YearMonth

Wednesday, October 01, 2025

KRI_ID	KRI_Name	KRI Value (Average)	Traffic Light	Points	Weight
KRI_02	Aged open incidents >30 days per 10k clients (month-end)	90.48	Red	1.00	0.10
KRI_03	Client complaint rate per 10k clients	14.98	Red	1.00	0.08
KRI_05	Processing error rate per 1k transactions	1.32	Red	1.00	0.12
KRI_06	Open items over SLA per 10k clients (month-end)	556.81	Red	1.00	0.10
KRI_10	Reconciliation breaks per 1k transactions	0.38	Red	1.00	0.06
KRI_01	Incident rate per 1k transactions	0.20	Amber	0.50	0.12
KRI_04	Substantiated complaints per 10k clients	3.93	Amber	0.50	0.08
KRI_07	Overdue tasks per 10k clients (month-end)	15.44	Amber	0.50	0.08
KRI_08	KYC review overdue per 10k clients (month-end)	20.25	Amber	0.50	0.10
KRI_11	Limit breaches per 1k transactions	0.03	Amber	0.50	0.06

# KRI deep dive

KRI value Trend compared to Alarm Threshold (Red)



KRI\_ID

KRI\_05

Region

All

BookingLocation

All

Team

Operations

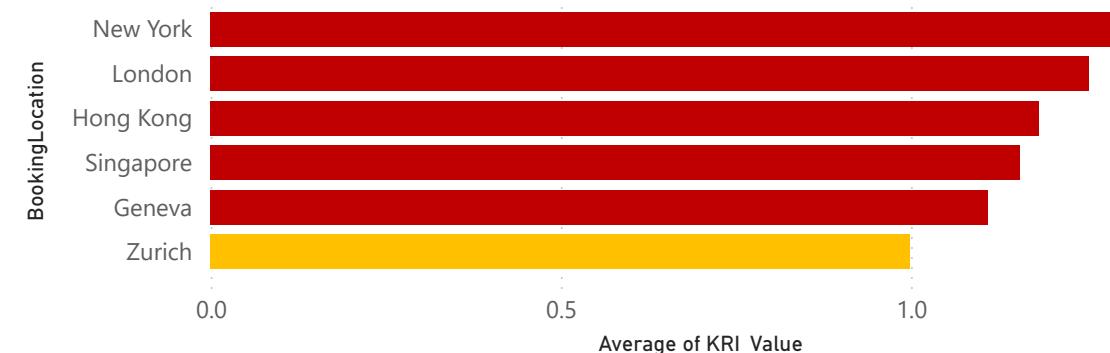
Product

All

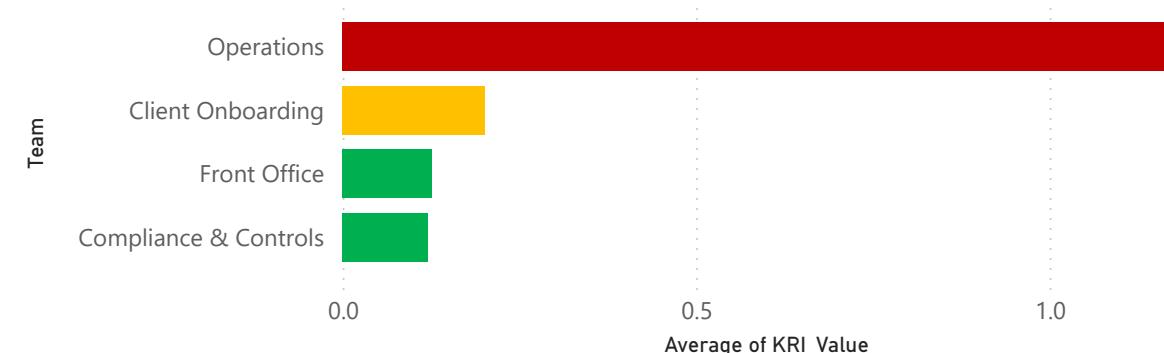
YearMonth

1/1/2025  12/1/2025

Average of KRI\_Value by BookingLocation



Average of KRI\_Value by Team



KRI_ID	KRI_Name	KRI_Value (Average)	AmberMax	GreenMax
KRI_01	Incident rate per 1k transactions	0.21	0.30	0.07
KRI_02	Aged open incidents >30 days per 10k clients (month-end)	37.02	56.28	0.00
KRI_03	Client complaint rate per 10k clients	2.14	7.26	0.00
KRI_04	Substantiated complaints per 10k clients	0.87	8.22	0.00
KRI_05	Processing error rate per 1k transactions	1.16	1.09	0.17
KRI_06	Open items over SLA per 10k clients (month-end)	374.60	416.88	175.44
KRI_07	Overdue tasks per 10k clients (month-end)	11.30	46.00	0.00
KRI_08	KYC review overdue per 10k clients (month-end)	6.20	22.02	0.00
KRI_09	High-risk transactions per 1k transactions	0.06	0.48	0.09
KRI_10	Reconciliation breaks per 1k transactions	0.27	0.32	0.04
KRI_11	Limit breaches per 1k transactions	0.03	0.10	0.00

# Exceptions & actions

**142**

# Over SLA

**58**

# High/Critical

**0**

# Open Exceptions (Other)

## Exceptions (open & attention required)

EventID	EventType	Severity	Sum of AgeDays_AsOf	Sum of SLA_Days	ExceptionReason	BookingLocation	Team	Product
E0000311	Processing Error	High	359	14	Over SLA; High/Critical Severity	Hong Kong	Operations	Discretionary
E0000314	Processing Error	Low	359	14	Over SLA	Hong Kong	Operations	Execution-only
E0000486	Incident	Medium	356	30	Over SLA	Hong Kong	Operations	Advisory
E0000487	Processing Error	High	356	14	Over SLA; High/Critical Severity	Hong Kong	Operations	Advisory
E0000997	Incident	Low	347	30	Over SLA	Hong Kong	Operations	Advisory
E0000999	High-Risk Transaction	High	347	10	Over SLA; High/Critical Severity	Hong Kong	Operations	Discretionary

Count of EventID by EventType and Severity

Severity ● Critical ● High ● Low ● Medium

BookingLocation



Hong Kong



Team



Operations



Product



All

EventType

Processing Error

Reconciliation Break

Incident

High-Risk Transaction

KYC Review Overdue

Data Quality Issue

Overdue Task

Limit Breach

0 5 10 15 20 25 30

Count of EventID

# Data Quality

**0.65%**

% Unclean Rows

**9**

# Unclean Rows

## Missing Mandatory Fields

Top IssueType

EventID	EventType	IssueType	Region	BookingLocation	Team	Product
E0001109	Reconciliation Break	Missing Mandatory Fields	APAC	Hong Kong	Operations	Execution-only
E0003379	Incident	Missing Mandatory Fields	APAC	Hong Kong	Operations	Structured Products
E0003534	Reconciliation Break	Missing Mandatory Fields	APAC	Hong Kong	Operations	Advisory
E0009693	Processing Error	Missing Mandatory Fields	APAC	Hong Kong	Operations	Advisory
E0010104	Data Quality Issue	Missing Mandatory Fields	APAC	Hong Kong	Operations	Structured Products
E0014651	Reconciliation Break	Missing Mandatory Fields	APAC	Hong Kong	Operations	Execution-only
E0014737	Processing Error	Missing Mandatory Fields	APAC	Hong Kong	Operations	Advisory
E0017299	Processing Error	Negative Amount	APAC	Hong Kong	Operations	Discretionary

### Data Quality Checks - Issues Detected (raw events)

BookingLocation

Hong Kong

Missing Mandatory Fields

Team

Operations

Negative Amount

