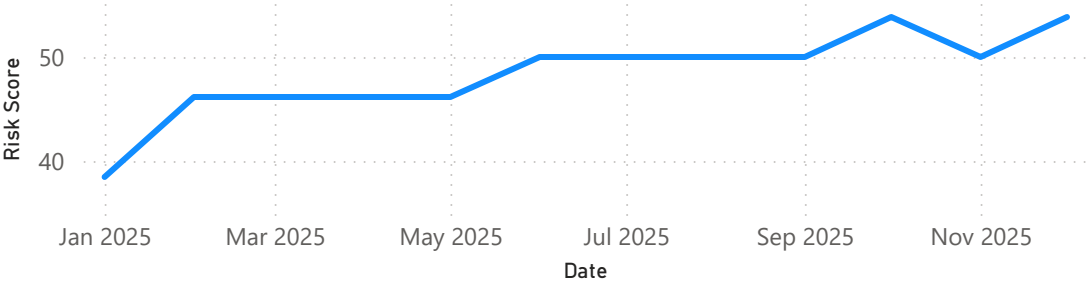


Overview (Risk Posture on Average)

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

BookingLocation

All

Team

All

Product

All

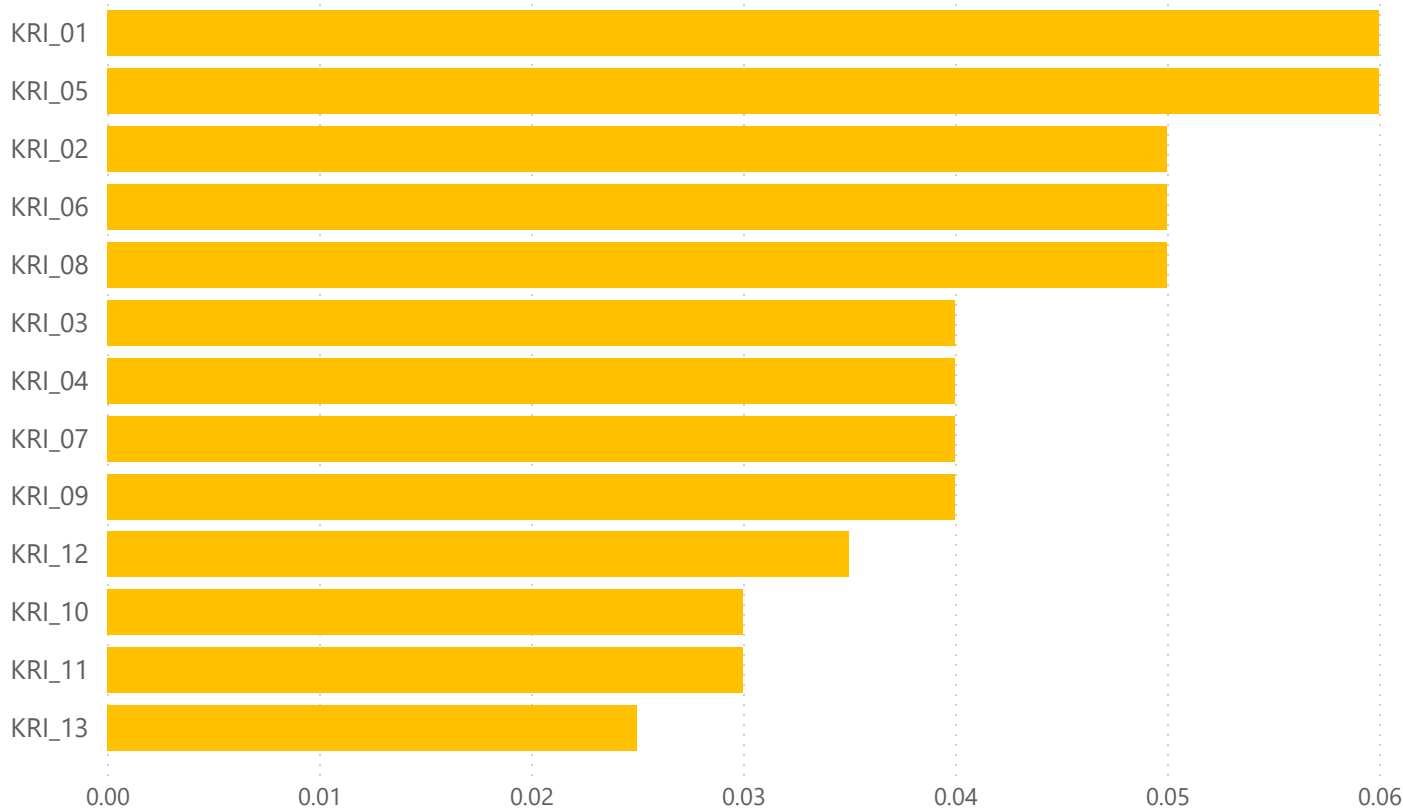
YearMonth

1/1/2025

12/1/2025



Top Risk Contributors



KRI_ID	KRI_Name	KRI 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

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

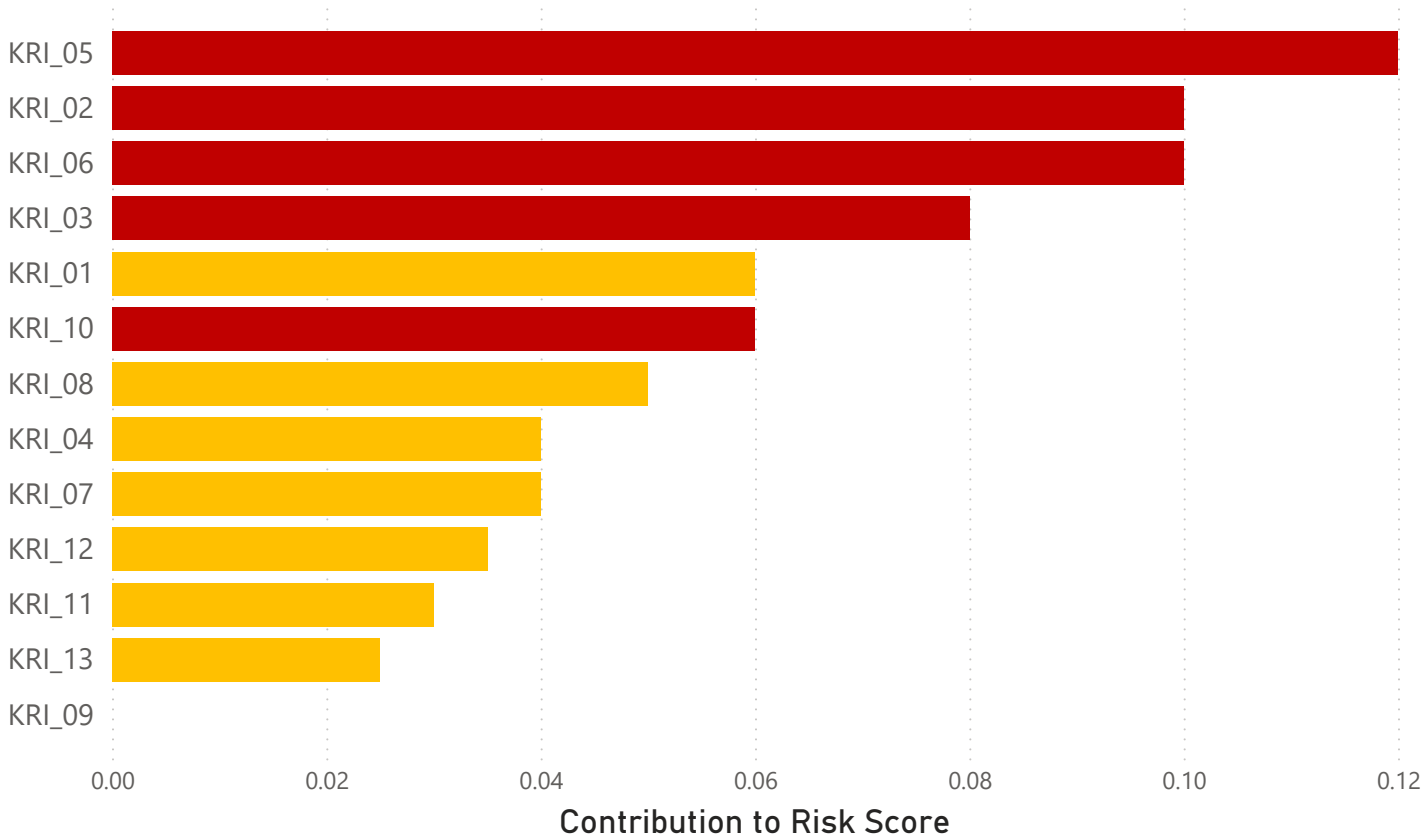
Red KRIs

7

Amber KRIs

Region	▼
APAC	▼
BookingLocation	▼
Hong Kong	▼
Team	▼
Operations	▼
Product	▼
All	▼
YearMonth	▼
Wednesday, October 01, 2025	▼

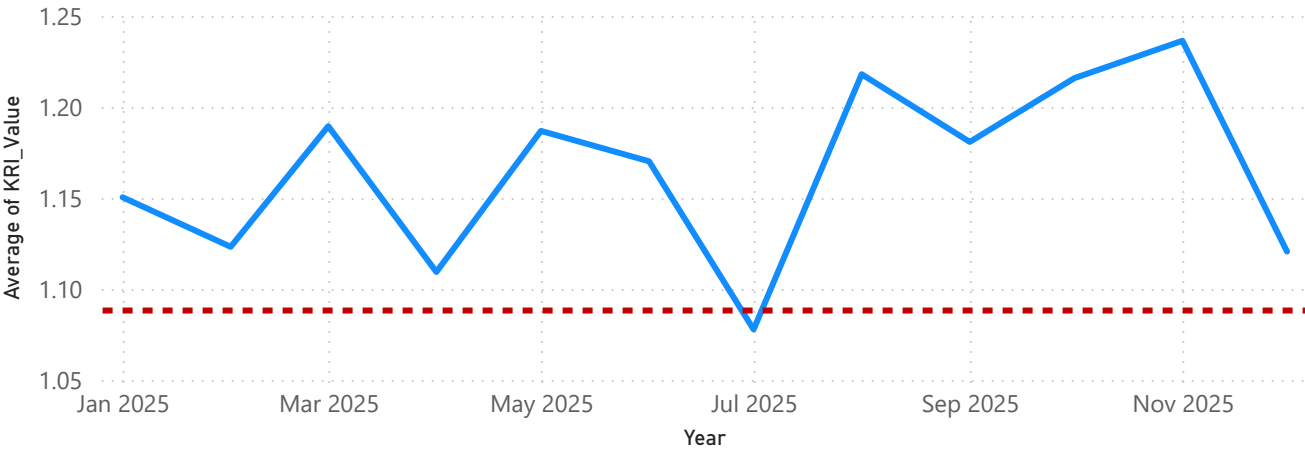
Top Risk Contributors



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

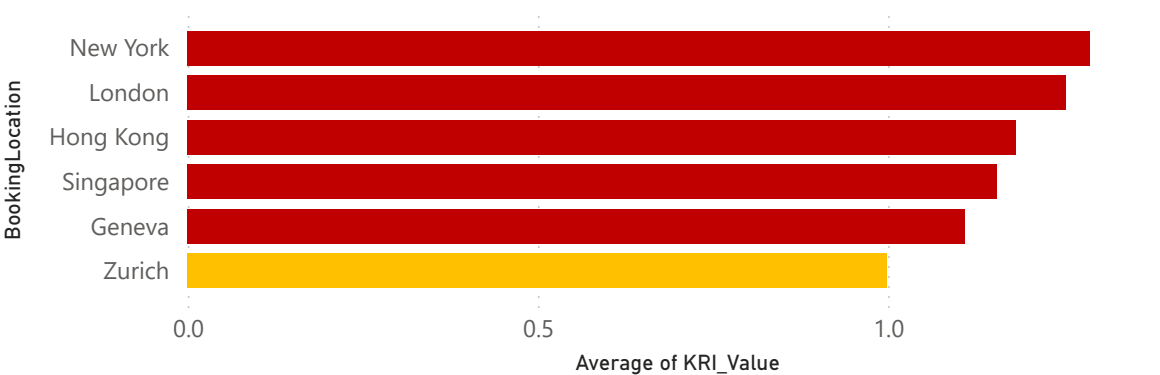
YearMonth

1/1/2025

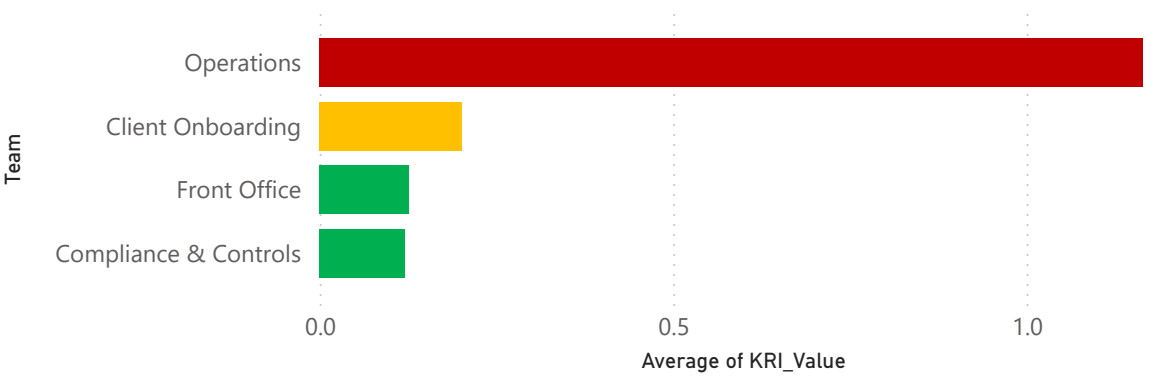
12/1/2025



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

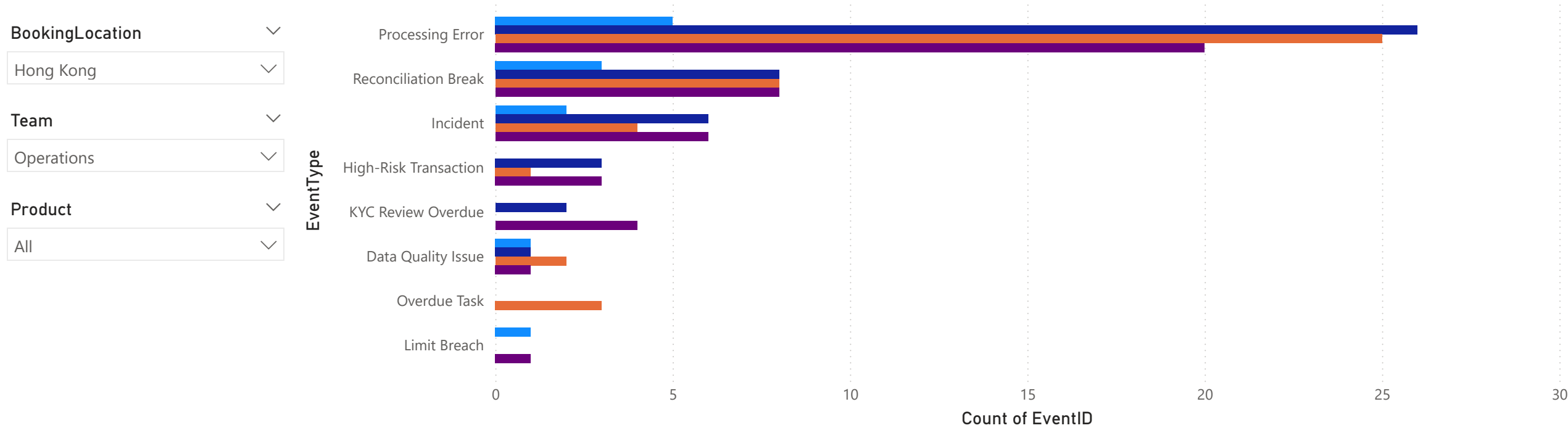
Open Exceptions (Other)

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



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)

