

PROJECT NAME: Risk Log

1. BASIC RISK INFORMATION							2. RISK ASSESSMENT INFORMATION				3. RISK RESPONSE INFORMATION			
Risk Number	Process	Risk Description / Risk Event Statement	Responsible	Interested Parties	Date Reported	Last Update	Impact	Impact Description	Probability	Response	Completed Actions	Planned Future Actions	Applicable Documents	Risk Status
R 2	SYSC	FCA poor culture	NS JS	Board FCA	1-Dec-2015	1-May-2017	HM	Poor culture leads to weak checks etc.	M		Building BIBA & 9001 system	Regular audits	Portal / Change control	OPEN
R 4		Conflicts of interest in business	NS JS	Board FCA	1-Dec-2015	1-May-2017	M	Failure on Fit and Proper. TCF product design	ML		Review of this area by JS	Document in audit	Conflicts Policy	OPEN
R 5	SYSC	Cyber Crime	NS JS	Board FCA	1-Dec-2015	1-May-2017	M	Co disable bt cyber attack	ML		Apply HMG Guide on Cyber security	audit possible pen test	Cyber Policy	OPEN
R 6	SYSC	Suppliers	NS JS	Board FCA	1-Dec-2015	1-May-2017	M	Inadequate contracts, continuity & monitoring with key suppliers	HM		Apply agreements	basic arrangements in place with IT contractor	Agreements on file. Monthly reports retained	OPEN
R 7	COND	Lack of liquidity	NS	Board FCA	1-Dec-2015	1-May-2017	ML	Inability to meet regulatory needs with regards CASS	ML		Annual audit. Monthly reconciliation. Fund monitoring.	Co. moved to acturis	CASS process	CLOSED
R 8	SYSC	Business Continuity	NS JS	Board FCA	1-Dec-2015	1-May-2017	H	Inability to continue to operate without BC	HM		Company needs new BC	Update plan	BC portal	OPEN
R 11	TCF	Failure to address TCF in all products	JS	Board FCA	1-Dec-2015	1-May-2017	ML	Products developed fail to address TCF needs.	ML	JS	Perform review of all product areas for TCF	Update plan	Core process	OPEN
R 13	SYSC	Failure to integrate new software platform with screening software	NS Board	FCA Customers	18th Dec	1-May-2017	H	Impact would breach SYSC ability to process & verify status of new clients	M	JS	Company plans to use Red Flag. Contract conditions to be signed.	Risk at present no HMT	Consolidated list	OPEN
R 14	CASS	Failure to comply with Amlin requirements of pre sanctions testing on ew clients	JS Board	Amlin / EIG	1-Dec-2015	1-May-2017	M	Laura advises that current systems do not allow for proactive HMT screening	M	JS	See above measures			
R 15	APR	HM Treasury announce Senior Managers & Certification Regime	JS Board	FCA Customers	8--1-16	1-May-2017	H	Must address SM&CR	H	JS	MJA to start on Diploma in CGR with ICT	MJA report May 2017	Await MJA	OPEN
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R 98														
R 99														
R 100														