

Risk analysis - Financial market infrastructures

Version 01/2025

Base data

Institut

Audit firm

Lead auditor

Start of audit year (prospective)

End of audit year (prospective)

Level

- Single-entity level
- Group-level (holding structure/atypical structure)

Financial market infrastructure type

- Trading venue
- Central counterparty
- Central securities depository
- Trade repository
- Payment system

General risk assessment

Minimum capital, capital adequacy and risk diversification

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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)

Self-regulation and organization of trading

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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)

Assurance of proper and transparent trading

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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)

Reporting office and trade supervision

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Admission and monitoring of participants

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Admission of securities and supervision of issuers

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Risk models collateral and margin management

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Collateral and margin management: process recovery and management

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Interoperability

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Default management process

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Investment portfolio

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Settlement

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Custody function

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Segregation and portability

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Data management trade repository

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Specific requirements related to the provision of ancillary services

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Other risks from the legal, litigation and compliance area

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

General rules of conduct

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Corporate Governance

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Overarching operational risk management

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Internal organisation / ICS

Risk description

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

ICT risk management

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)

Cyber risk management

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)

Critical data risk management

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)

BCM (business continuity management)

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Operational resilience

Risk description

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Outsourcing

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Internal audit function

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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)

Risk control function

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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)

Compliance function

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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)

Compliance with money laundering regulations

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Compliance with reporting duties

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

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

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Corporate governance at group level

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

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

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Group functions for risk control and risk mitigation: Compliance function

Risk description

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

Group internal audit

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Group-wide liquidity management measures

Risk description

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Compliance with capital adequacy and risk diversification requirements at group level

Risk description

Impact / Extent <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high <input type="radio"/> n/a	Probability of occurrence <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high <input type="radio"/> very high	Inherent risk (gross) <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (gross) <input style="width: 100%; height: 20px;" type="text"/>
Control risk <input type="radio"/> low <input type="radio"/> medium <input type="radio"/> high		Net risk <input style="width: 100%; height: 20px;" type="text"/>	Risk ranking (net) <input style="width: 100%; height: 20px;" type="text"/>

Intra-group financing structures and contingent liabilities

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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

Credit risks at group level

Risk description

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

Market risks at group level

Risk description

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

Legal risks at group level

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)

General rules of conduct at group level

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)

Group-wide overarching operational risk management

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)

Internal organisation / ICS at group level

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)

Group-wide ICT risk management

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)

Group-wide cyber risk management

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)

Group-wide critical data risk management

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)

Group-wide BCM (business continuity management)

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)

Operational resilience at group level

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)

Outsourcing at group level

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)

Group-wide measures to combat money laundering

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)

Compliance with consolidated reporting duties

Risk description

The relevant risks within an audit area are to be described concretely, specifically related to the institute.

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)