

## GB-B Risk analysis 2025

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### Metadata

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PDF

English

### Base data

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Authorised institution/group; domicile

Supervisory category

Audit firm

Lead auditor

Audit year (prospective)

2025

Please select

- Only single-entity level
- Single-entity and consolidated level (parent company structure)
- Only group-level (holding structure/atypical structure)

### General risk assessment

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## Single-entity level

ID		Audit areas/audit fields/topics	
<a href="#">RA.EMS.EMA</a>	Capital adequacy/solvency: Non-model-based capital adequacy requirements		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

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ID		Audit areas/audit fields/topics	
<a href="#">RA.EMS.INM</a>	Capital adequacy requirements from and authorisation requirements for internal models approved by FINMA		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

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ID		Audit areas/audit fields/topics	
<a href="#">RA.EMS.EPP</a>	Capital adequacy/solvency: capital buffer and capital planning		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

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ID		Audit areas/audit fields/topics	
<a href="#">RA.EMS.PRI</a>	Capital adequacy/solvency: coverage of privileged deposits		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.KRR.IBA</a>	Business risks/risk management: credit risks from the interbank business

Risk description
<input type="text"/>

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.KRR.HYP</a>	Business risks/risk management: credit risks from the mortgage business

Risk description
<input type="text"/>

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.KRR.KMZ</a>	Business risks/risk management: credit risks from the commercial lending business

Risk description
<input type="text"/>

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.KRR.LOM</a>	Business risks/risk management: credit risks from the lombard lending business

Risk description
<input type="text"/>

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.KRR.WKR</a>	Business risks/risk management: other credit risks (e.g. financial investments)

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.MKR.ZIR</a>	Business risks/risk management: market risks from interest rate risks (banking book)

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.MKR.WAH</a>	Business risks/risk management: market risks from foreign exchange risks

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.MKR.WMR</a>	Business risks/risk management: other market risks

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.VR.EXO</a>	Business risks/risk management: compliance with rules of conduct with respect to customers in connection with execution-only investments

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.VR.ABE</a>	Business risks/risk management: compliance with rules of conduct with respect to customers in connection with investment advice

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.VR.VVM</a>	Business risks/risk management: compliance with rules of conduct with respect to customers in connection with asset management mandates

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

Control risk	Net risk	Risk ranking (net, top 10)
<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>	<input style="width: 95%;" type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.VR.TRE</a>	Business risks/risk management: compliance with rules of conduct with respect to customers in connection with fiduciary investments

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.VR.BRD</a>	Business risks/risk management: compliance with rules of conduct in connection with brokerage and custody services

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.VR.MIN</a>	Business risks/risk management: compliance with market conduct rules

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.PFL.OHS</a>	Business risks/risk management: compliance with obligations when operating an organised trading system

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID	Audit areas/audit fields/topics
<a href="#">RA.GRM.PFL.DET</a>	Business risks/risk management: compliance with obligations in connection with derivative transactions

Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID	Audit areas/audit fields/topics		
<a href="#">RA.GRM.RIG.ZAV</a>	Business risks/risk management: risks from non lending and non deposit transactions: payment transactions		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID	Audit areas/audit fields/topics		
<a href="#">RA.GRM.RIG.WIG</a>	Business risks/risk management: other risks from non lending and non deposit transactions		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID	Audit areas/audit fields/topics		
<a href="#">RA.GRM.ARP</a>	Business risks/risk management: other risks from legal and litigation risks		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.GRM.CPL</a>	Business risks/risk management: other risks related to compliance issues		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.LIQ.QUA</a>	Qualitative liquidity requirements		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.LIQ.QUN</a>	Quantitative liquidity requirements		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.RKZ.EIN</a>	Risk concentration: risk diversification requirements		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	



ID		Audit areas/audit fields/topics	
<a href="#">RA.RKZ.KRE</a>	Risk concentrations in the lending business		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.RKZ.REF</a>	Risk concentrations from refinancing		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.RKZ.MKR</a>	Risk concentrations from market risks		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.RKZ.ARK</a>	Other risk concentrations		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.CGO.OQB</a>	Proper conduct of business with governing bodies and parties holding a qualified participation		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.ORM</a>	Overarching operational risk management		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.GEN</a>	Internal organisation and internal control system		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.IKT</a>	ICT risk management		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.CYB</a>	Cyber risk management		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.DAT</a>	Critical data risk management		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.BCM</a>	BCM (business continuity management)		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.RES</a>	Operational resilience		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.OBC</a>	Outsourcing		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.IRE</a>	Internal audit		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.ZRR.RRK</a>	Central functions for risk control and risk mitigation: Risk control function		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

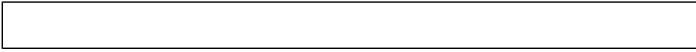
ID		Audit areas/audit fields/topics	
<a href="#">RA.IOK.ZRR.COM</a>	Central functions for risk control and risk mitigation: Compliance function		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.GWG.GEN</a>	Compliance with money laundering regulations		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.GWG.NAR</a>	Assets excluding contact and dormant assets		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.REP.GEN</a>	Compliance with reporting obligations		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

ID		Audit areas/audit fields/topics	
<a href="#">RA.WAV.GEN</a>	Compliance with other prudential regulations		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	Risk ranking (gross, top 10)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	Risk ranking (net, top 10)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	



## Consolidated supervision / Qualitative aspects

ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.QUA.CGO</a>		Corporate governance at group level	
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Control risk	Net risk		
<input type="text"/>	<input type="text"/>		

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ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.QUA.RRK</a>		Group functions for risk control and risk mitigation	
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Control risk	Net risk		
<input type="text"/>	<input type="text"/>		

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ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.QUA.IRE</a>		Group internal audit	
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Control risk	Net risk		
<input type="text"/>	<input type="text"/>		

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ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.QUA.GWG</a>		Group-wide measures to combat money laundering	
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

Control risk	Net risk
<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.KON.QUA.DET</a>	Group-wide measures to comply with obligations in connection with derivative transactions

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)
<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk
<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.KON.QUA.LIQ</a>	Group-wide measures to ensure compliance with qualitative liquidity requirements

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)
<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk
<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.KON.QUA.ERV</a>	Group-wide precautions for compliance with capital adequacy and risk diversification requirements

Risk description

Impact / extent	Probability of occurrence	Inherent risk (gross)
<input type="text"/>	<input type="text"/>	<input type="text"/>

Control risk	Net risk
<input type="text"/>	<input type="text"/>

ID	Audit areas/audit fields/topics
<a href="#">RA.KON.QUA.IFE</a>	Intragroup financing structures and contingent liabilities (incl. respective governance, ICS and risk management measures)

Risk description



Impact / extent	Probability of occurrence	Inherent risk (gross)
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Control risk	Net risk	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	

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ID	Audit areas/audit fields/topics
<a href="#">RA.KON.QUA.WAV</a>	Group-wide measures for compliance with other Swiss and foreign prudential regulations
Risk description	
<input style="width: 100%; height: 20px;" type="text"/>	

Impact / extent	Probability of occurrence	Inherent risk (gross)
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Control risk	Net risk	
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	

## Consolidated supervision / Quantitative aspects

ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.QUN.EMV</a>	Compliance with non-model-based capital adequacy requirements		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Control risk	Net risk		
<input type="text"/>	<input type="text"/>		

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ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.QUN.INM</a>	Compliance with capital adequacy requirements from and authorisation requirements for internal models approved by FINMA		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Control risk	Net risk		
<input type="text"/>	<input type="text"/>		

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ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.QUN.RKZ</a>	Compliance with risk diversification requirements		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Control risk	Net risk		
<input type="text"/>	<input type="text"/>		

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ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.QUN.LIQ</a>	Compliance with quantitative liquidity requirements		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

Control risk	Net risk	
<input type="text"/>	<input type="text"/>	
ID	Audit areas/audit fields/topics	
<a href="#">RA.KON.QUN.REP</a>	Compliance with consolidated reporting obligations	
Risk description		
<input type="text"/>		
Impact / extent	Probability of occurrence	Inherent risk (gross)
<input type="text"/>	<input type="text"/>	<input type="text"/>
Control risk	Net risk	
<input type="text"/>	<input type="text"/>	

## Consolidated supervision / Additional items

ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.EEL.KRR</a>	Business risks linked to credit risks (incl. risk concentration)		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Control risk	Net risk		
<input type="text"/>	<input type="text"/>		

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ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.EEL.MKR</a>	Business risks linked to market risks (incl. risk concentration)		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Control risk	Net risk		
<input type="text"/>	<input type="text"/>		

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ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.EEL.OPR</a>	Business risks linked to operational risks (incl. risk concentration)		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	
Control risk	Net risk		
<input type="text"/>	<input type="text"/>		

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ID		Audit areas/audit fields/topics	
<a href="#">RA.KON.EEL.ANR</a>	Business risks linked to other risks (incl. risk concentration)		
Risk description			
<input type="text"/>			
Impact / extent	Probability of occurrence	Inherent risk (gross)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

Control risk

Net risk