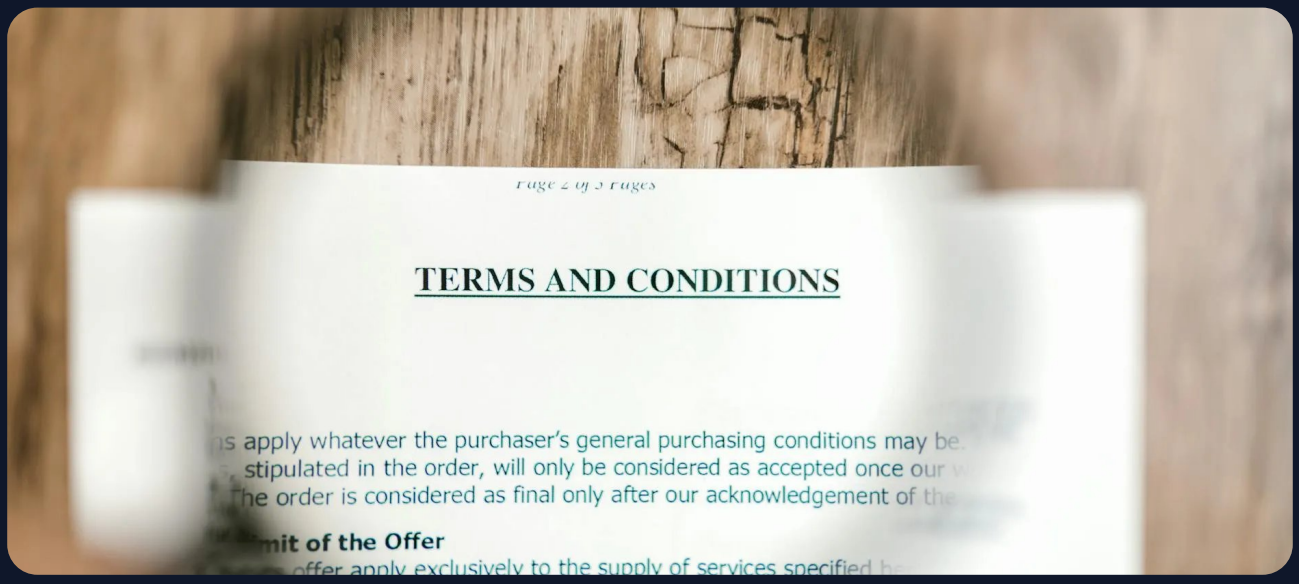
RISK ASSESSMENT WIZARD



COMPLIANCE AND REGULATION

Safety Guide

Financial Services

4	16	3
Key Benefits	Control Measures	Checklist Items

KEY BENEFITS

Risk Mitigation

Mitigates legal and financial risks from non-compliance.

Trust Building

Builds trust with stakeholders and regulators.

Efficiency

Improves operational efficiency through structured processes.

Reputation

Enhances organizational reputation and credibility.

KEY HAZARDS & CONTROL MEASURES

Regulatory Non-compliance

- ✔ Regulatory monitoring systems
- ✔ Compliance calendar maintenance
- ✔ Staff training programs
- ✔ Internal audit procedures

Data Breaches

- ✔ Data protection policies
- ✔ Encryption standards
- ✔ Access control procedures
- ✔ Incident response plans

AML Failures

- ✔ Transaction monitoring
- ✔ KYC procedures
- ✔ Suspicious activity reporting
- ✔ AML training programs

Regulatory Changes

- ✔ Regulatory horizon scanning
- ✔ Impact assessment processes
- ✔ Change management procedures
- ✔ Industry association engagement

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