**CQRI Compliance Risk Identification Survey**

**Responsible Oversight Party:**

**Organizational Improvement and Corporate Compliance Department**

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| **Risk #1** | |
| **Cause:** | |
| **Impact:** | **Measurement:** |
| **Current Controls:** | **Suggested Improvement/Responsible Party:** |

|  |  |
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| **Risk #2** | |
| **Cause:** | |
| **Impact:** | **Measurement:** |
| **Current Controls:** | **Suggested Improvement/Responsible Party:** |