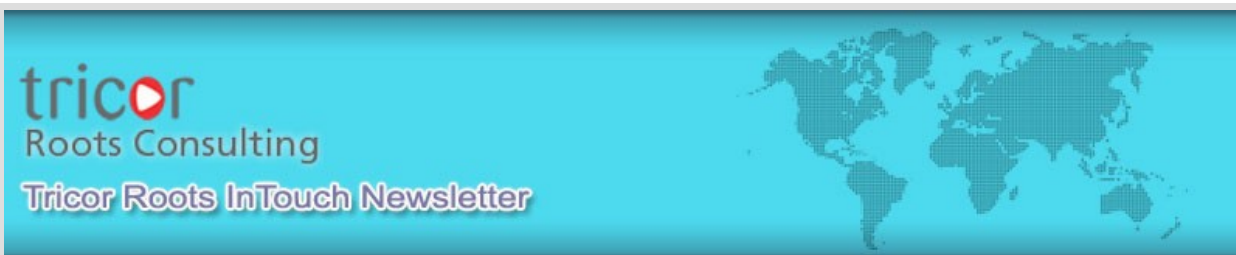


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<p>Headlines</p> <p>Tricor Roots Consulting hosts Global Conference on ISO 31000 at the 2009 Q-RADAR Trailblazer Alumni Conference on 19 November 2009</p> <p>Tricor Roots Consulting hosts a workshop on how to implement the ISO 31000 Risk Management</p> <p>CIMB Bank is the winner of the 2009 Award as the most Innovative User of the Q-RADAR system</p> <p>Critical Emerging Strategic Performance & Risk Issues</p>	<p>Welcome to the December 2009 edition of Tricor Roots InTouch, our final edition for an eventful 2009. This newsletter is aimed at keeping our Clients, Friends, Partners & Associates updated on what is happening in the world of Enterprise Governance.</p> <p style="text-align: center;">Tricor Roots Consulting hosts highly successful Q-RADAR Trailblazer Alumni 2009 Conference</p> <p>TRC recently hosted the 2009 Q-RADAR Trailblazer Alumni Conference and Post-Conference Risk Management workshop on ISO 31000 on 19-20th November 2009. The event was among the first held globally to outline the key principles and approaches to implement an Enterprise Risk Management (ERM) on internationally accepted standards since the adoption of ISO31000 on Risk Management on the 15th November 2009. Scroll down below to find out more about the event.</p> <p style="text-align: center;">Congratulations to CIMB Bank for winning the 2009 Award for most Innovative use of Q-RADAR system</p> <p>We wish to extend our congratulations to the CIMB Banking Group for winning the 2009 Award for the most innovative use of the Q-RADAR system. The Q-RADAR system is rebranded as the "ShARP" system, and the program has now been successfully deployed across the entire Malaysian Consumer banking operations. Scroll down below to find out more about the Award.</p> <p>As 2009 comes to an end, we would like to express our thanks for your support over the past year. We would also like to extend a Merry Christmas greeting and Happy New Year to our Clients, Partners and Friends!</p> <p>We hope you enjoy this Newsletter, and as always, please do not hesitate to contact us should you have any queries. We love to hear from you.</p> <p>Your Trusted Consultant,</p> <p style="text-align: center;">Tricor Roots Consulting Executive Team</p>

1. Tricor Roots Consulting hosts Global Conference on ISO 31000 at the 2009 Q-RADAR Trailblazer Alumni Conference on 19 November 2009



On 19th November 2009, Tricor Roots Consulting were among the first organizations to officially host a Global Conference on ISO 31000, the Risk Management standard that will now be used as the benchmark for implementing effective ERM across the organization. The ISO 31000 was officially endorsed on 15 November 2009 and has harmonized many of the standards currently distributed, including the AS/NZS 4360. This standard will now form the basis for organizations to build a Risk Management framework that is aligned to the organization's strategies and objectives.

The Alumni Conference was attended by over 120 participants from many of the leading organizations in Malaysia and Singapore, representing our largest ever Conference gathering. There was a host of International Speakers at the Conference to share the key principles of ISO 31000 and implementation challenges. These included:

1. Mr. Kevin Knight, *Head of the ISO 31000 Standards Committee*
2. Dr. Roy Rimington, *President of RIMAS (The Risk and Insurance Management Association of Singapore) & Member of the ISO 31000 Standards Committee;* and
3. Mr. Craig Peterson, *Practice Leader in Asia Pacific, Marsh Risk Consulting*

There was also a series of presentations from various clients on ERM and Balanced Scorecard implementation experiences, including critical success factors for building a Risk Management culture within the organisation.

Kenneth Chin, CEO of Tricor Roots Consulting presented a session on the latest development in the Q-RADAR V6.5 system to encapsulate and operationalise ISO 31000, as well as share the latest approaches used by TRC Clients to embed Risk Management in all aspects of operations. This includes:

- Techniques for embedding Risk Management into the Business Planning process in a practical manner
- Linking Risk Management with Internal Audit to maximize coverage of key risk issues and controls compliance
- Use of semi-quantitative risk assessments
- Integration of Key Risk Indicators and Key Performance Indicators with back-end systems for real-time reporting.

Tricor Roots Consulting is proud to bring the latest global knowledge in ERM and the Balanced Scorecard to Malaysia.



To purchase a copy of the ISO 31000 Standard and the associated guide, please click [here](#) to the official [ISO](#) Website.

2. Tricor Roots Consulting hosts a workshop on how to implement the ISO 31000 Risk Management

On the 20th November, Tricor Roots Consulting hosted a post-alumni workshop on how to implement the ISO 31000 global Standard on Risk Management. The workshop was facilitated by Mr Kevin Knight, the Head of the ISO 31000 Standards Committee. The workshop was attended by 45 participants, and the practical approach on implementation steps and strategies to address implementation challenges was hugely beneficial.

The ISO 31000 Standard represents, for the first time, a truly global Standard that will harmonize Risk Management approaches across the world, and will give organizations a firm guide as to the methodology, approach and benefits that will be expected to be gained from having an effective ERM framework.

Given the success of this workshop, Tricor Roots will be organizing future focused sessions on empowering Risk Managers to successfully establish and embed ISO 31000 into their organization's DNA.



Over 45 participants from leading organizations attended the Post-Alumni Workshop on Implementing ISO 31000 with Mr. Kevin Knight

3. CIMB Bank is the winner of the 2009 Award as the most Innovative User of the Q-RADAR system

Tricor Roots Consulting is pleased to announce that CIMB Bank is the winner of the 2009 Award as "The Most Innovative User of the Q-RADAR System". CIMB Bank has demonstrated over the past 4 years since it first started using the Q-RADAR system, its commitment to drive Risk & Control Self Assessment throughout the organisation, ensuring there is a systematic evaluation between:

1. Risk exposures;
2. Control Design; and
3. Control Compliance

Through its re-branding of the Q-RADAR to its internal acronym of "ShARP" – (Self-Assessment Review Program), CIMB has built a strong culture of risk awareness and Compliance across its entire organisation, and particularly in its consumer banking operations. This has been especially critical given the exponential growth CIMB has experienced in the past few years and the need to establish a common risk management culture and standardized processes.

The CIMB Team presented a very impressive video featuring messages from all levels of Management, starting from the Group MD, Dato' Sri Nazir Razak to the Branch Supervisors. This gave a very compelling message to the CIMB staff the importance of ERM in all aspects of the Bank's operations.



The Consumer Banking Risk Monitoring Department from the CIMB Banking Group receiving the award from Tricor Roots Consulting

Tricor Roots is proud to have worked with CIMB Bank to establish the ShARP program in its ongoing goal towards building excellence across its business.

4. Critical Emerging Strategic Performance & Risk Issues

To better support our clients, we have outlined below recent global strategic performance and risk issues. The information contained is based on sources we believe to be reliable, but we do not guarantee its accuracy. Tricor Roots Consulting does not have any ownership over this information, nor does it represent our opinion.

<p>Hong Kong suspends Ex-DBS Employee for Risk Disclosure miss</p> <p>Bloomberg</p> <p>21 November 2009</p>	<p>A former employee of DBS Bank (Hong Kong) Ltd. has been suspended for three months by the Hong Kong Monetary Authority for failing to "diligently disclose and explain" risks when selling an investment product.</p> <p>Leung Wai Yu, who left the bank voluntarily in 2006, according to DBS, failed to complete risk disclosure to a client while selling a note linked to failed Lehman Brothers Holdings Inc. in 2006, HKMA said in a release yesterday.</p> <p>"The is the first time the HKMA has taken disciplinary action against a relevant individual in connection with a Lehman Brothers-related investment product," Raymond Li, executive director of the city's de facto central bank, said in the statement. "There are other disciplinary cases which have reached an advanced stage and will be announced in due course."</p> <p>HKMA said yesterday in a separate statement that 765 non- minibond complaint cases related to Lehman Brothers are "under disciplinary consideration after detailed investigation."</p> <p>DBS expressed "regret" at learning of the suspension, in a statement yesterday.</p>
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"DBS has compensated those cases where the sale may have been inappropriate and standards have not been met," the statement said.

About Tricor Roots Consulting (Previously known as Roots Consulting)

Tricor Roots Consulting is an established and vibrant organization incorporated in 1999 with the mission: Sharing a Passion for Excellence.

Our vision is to be a global consulting firm backed by innovative software solutions. We are highly focused towards assisting Organizations and Individuals to achieve their potential for Excellence. Tricor Roots Consulting has vast experience in providing training and consultancy services in the field of Governance, Risk & Compliance ("GRC") which includes Performance Management advisory for numerous public listed and many more non-listed companies in the Asia Pacific region from a diverse range of industries.

In addition, since the release of the **Q-RADAR System** in September 2001, over 350 companies in the Asia Pacific region have successfully leveraged on the system as part of the Performance Management & Risk Management Framework Implementation.

For more information, please log on to www.tricor-roots.com

Tricor Roots Consulting is part of the Tricor Group of companies. To find out more, go to www.tricorglobal.com.

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