



# **Manual de Gerenciamento de Risco Operacional**

**Franklin Templeton Investimentos Brasil**

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Fevereiro, 2016

Uma instituição financeira pode correr três tipos de riscos: risco de negócio, risco de estratégia e risco financeiro. O risco financeiro pode ser classificado em risco de mercado, risco de crédito, risco operacional, risco legal e o risco de liquidez.

Em uma empresa administradora de recursos de terceiros, o risco de liquidez consiste na eventual dificuldade que o administrador possa encontrar para vender os ativos que compõem a carteira do fundo, ficando impossibilitado de atender aos pedidos de resgate do investimento.

O risco operacional está associado à possíveis perdas provenientes de processos e sistemas inadequados, falhas humanas ou fatores externos enquanto o risco de mercado está associado às variações nos preços de ativos e dos níveis de taxas.

Na Franklin Templeton o Risco Operacional é tratado matricialmente por uma equipe dedicada única e exclusivamente a esse tema e cada Local Asset Management (incluindo o Brasil) tem o seu respectivo *'Business Continuity Coordinator'* ("BCC") que faz o mapeamento dos riscos e processos locais.

O BCC da FTIB é o Gerente de Risco.

O BCC é responsável por mapear os riscos, seus impactos e fatores/controles mitigantes e incluir todas essas informações no sistema *'Enterprise Governance, Risk and Compliance'* ("eGRC").

Apresentaremos abaixo algumas telas desse sistema e em anexo alguns relatórios com as informações dele exportadas.

Franklin's eGRC

FRANKLIN TEMPLETON INVESTMENTS  
Enterprise Governance, Risk and Compliance

Vendor Management | Business Continuity Management | Incident Reporting | Business Continuity Coordinator | Business Continuity Program Metrics

Dashboard: Continuity Coordinator | Welcome, Cesar Dammous

## Business Continuity Coordinator Dashboard

**How Do I Update My BIAs and Plans**

**My Business Impact Analysis Records**  
Click on this link to open a list of your Business Impact Analysis (BIA) records. To update or review the information in a BIA, click on the BIA ID hyperlink to open the BIA record.

**My Business Continuity Plan Records**  
Click on this link to open a list of your Business Continuity Plan (BCP) records. To update or review the information in a BCP, click on the Plan ID hyperlink to open the BCP record.

**Are My Plan(s) in Compliance?**

1  Meets Compliance

**Are there any Vendor Risk Exceptions for my BIA(s)?**

No Records Found

**Link to Events and Reports by BCC**

[Link to Events - Activated BC Plans By BCC](#) | [Event - Site Assessment Strategy by BCC](#)  
[Event - Recovery Strategies in Scope by BCC](#) | [Link to Events - BC Plan Goals and Results by BCC](#)  
[Event - Business Processes in Scope by BCC](#)

**Are My BIA(s) in Compliance?**

1  Meets Compliance

**What Exercises are scheduled for My Plan(s)?**

| Plan Name        | Site Exercise Date | Facility Name  |
|------------------|--------------------|----------------|
| Sao Paulo Office | 5/12/2016          | Rancho Cordova |

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**Are there any Application Risk Exceptions for my BIA(s)?**

5  Closed BIA Revised

**Do My Plan(s) meet the Annual Exercise Requirement?**

1  Meets Compliance

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## Business Impact Analysis: BIA-590623

Record 1 of 1

To respond to the Business Impact Analysis questions, click on the hyperlinked Process ID on the left side of the business process below and follow the instructions for each of the question tabs.

| Process ID | Process Name                                | BC Category Rating | Recovery Time Objective (RTO) |
|------------|---|--------------------|-------------------------------|
| P063300003 | Risk Reporting - Fixed Income               | 1                  | 24 Hours                      |
| P063300001 | Trade Execution                             | 1                  | 6 Hours                       |
| P063300002 | Risk Reporting - Equity                     | 2                  | 72 Hours                      |
| P061900002 | Inbound Sales Calls                         | 2                  | 25 Hours                      |
| P061900003 | Relationship Management Calls               | 2                  | 25 Hours                      |
| P061900004 | Answer Email Inquiries                      | 2                  | 25 Hours                      |
| PC50002577 | Emerging Markets                            | 2                  | 72 Hours                      |
| P062900012 | Performance Reporting (vs Main Competitors) | 4                  | 337 Hours                     |
| P063300004 | Performance Reporting (P&L) - Fixed Income  | 4                  | 337 Hours                     |
| PC50002480 | Brazil NAV Shadowing                        | 4                  | 337 Hours                     |
| P063300005 | Equity Research                             | 4                  | 337 Hours                     |

**BIA Review and Approval**

Once you have completed the questions for all of your Business Processes, update the "BCC Submission Date" below with the current date. This will trigger an email to your EBR Planner to begin the Review & Approval process for your BIA.

|                |                            |                            |           |
|----------------|----------------------------|----------------------------|-----------|
| BCC(s):        | Dammous, Cesar             | Submission Date:           | 8/26/2015 |
| Planner:       | Hall, Dale                 | Planner Approval Date:     | 8/26/2015 |
| EBR Manager:   | Fields, Curtis             | EBR Manager Approval Date: | 8/26/2015 |
| Plan Approver: | Vinicius Goncalves, Marcus | Business Approval Date:    | 9/25/2015 |
| BIA Status:    | Current                    | Next Due Date:             | 9/24/2016 |

**General Information**

BIA ID: BIA-590623 | Overall Status: Approved

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Enterprise Governance, Risk and Compliance

Business Processes: P063300001

First Published: 1/19/2015 1:09 PM Last Updated: 2/2/2016 11:04 AM

**General Information**

|                   |                             |                                |                 |
|-------------------|-----------------------------|--------------------------------|-----------------|
| Process ID:       | P063300001                  | Process Name:                  | Trade Execution |
| Line of Business: | International Advisory Svcs | BC Category Rating:            | 1               |
| Description:      | Trade Execution             | Recovery Time Objective (RTO): | 6 Hours         |
| Process Type:     | Business Continuity         |                                |                 |

**Operating Departments**

This section is where you will assign each of the department records that operate (perform, conduct) this business process. Use the **Look Up** hyperlink on the right to open a display of all available department records. Click on the radio button for each department record you wish to assign.

| Department | Department Name              | Department ID  |
|------------|------------------------------|--|
| 3400SO     | LAM Brazil Equity            | <a href="#">3400SO-LAM Brazil Equity</a>             |
| 3420SO     | LAM Brazil Fixed Income      | <a href="#">3420SO-LAM Brazil Fixed Income</a>       |
| 3810SO     | Europe Fund Admin & Rptng    | <a href="#">3810SO-Europe Fund Admin &amp; Rptng</a> |
| 3310SO     | Global Trade Services - MOCS | <a href="#">3310SO-Global Trade Services - MOCS</a>  |

Para cada risco mapeado identificam-se as áreas/departamentos envolvidos, o período máximo que os processos deverão ser recuperados, os impactos financeiros, processos alternativos, etc.

Todos os contatos e 'call trees' estão apresentados no próprio eGR (essas informações são atualizadas diretamente pela área de Recursos Humanos) :

Exemplos:

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Vendor Management Business Continuity Management Incident Reporting Business Continuity Coordinator Business Continuity Program Metrics

BC/DR Plans: PLAN-590289

Record 1 of 1

First Published: 1/19/2015 10:44 AM Last Updated: 2/7/2016 11:25 AM

**General Plan Information**

|                               |   |                   |                             |
|-------------------------------|---|-------------------|-----------------------------|
| Plan Name:                    | Sao Paulo Office                              | Plan Type:        | Business Continuity Plan    |
| Plan ID:                      | PLAN-590289                                   | Category Rating:  | 1                           |
| Location for Plan Activation: | Rancho Cordova<br>Rio de Janeiro<br>Sao Paulo | Line of Business: | International Advisory Svcs |

Recovery Strategies Contacts and Call Trees External Documents Plan Information Plan Review and Approval History Log

**About**

**Recovery Strategies** | Enable Inline Edit |

| Strategy ID | Strategy Order # | Strategy Name                             | Strategy Type           |
|-------------|------------------|---|-------------------------|
| RS-593836   |                  | Management Team                           | Management Team         |
| RS-594170   |                  | Pandemic                                  | Pandemic                |
| RS-596655   |                  | Rio de Janeiro / S1BRSA1PO                | Site                    |
| RS-596656   |                  | Sao Paulo / S1BRSA1PO                     | Site                    |
| RS-688383   |                  | Morgan Stanley (MSCI)                     | Critical Vendor         |
| RS-688394   |                  | Barra (MSCI)                              | Critical Vendor         |
| RS-688402   |                  | .Net Equity Trading Botter                | Application / Technical |
| RS-688406   |                  | Onelis-Settlement Blotter - Business Admi | Application / Technical |
| RS-688410   |                  | IRIS                                      | Application / Technical |

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BC/DR Plans: PLAN-590289

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**About**

**Employee Contact List**

| Name (Full)            | Title                         | Dept ID | Phone (Business Direct) | Phone (Business Mobile) | Phone (Personal Mobile) | Phone (Home)   |
|------------------------|-------------------------------|---------|-------------------------|-------------------------|-------------------------|----------------|
| Jose Acar Pedro Filho  | VP - Sales Executive          | 2310SO  |                         |                         |                         | +5511991764416 |
| Vagner Alves           | Research Analyst              | 3420SO  |                         |                         | +5511975576952          | +5511975576952 |
| Andre Banks da Rocha   | VP/Sr Research Analyst        | 3400SO  |                         |                         | +5511967319060          | +551135829474  |
| Eduardo Bopp           | VP/Portfolio Manager          | 3400SO  | +551191356308           | +551191356308           | +5511973591598          | +551138872456  |
| Rodrigo Borges         | VP/CIO-Fixed Income           | 3420SO  |                         |                         |                         | +5511991531550 |
| Angela Caetano         | Business Operations Executive | 3310SO  | +551132060014           |                         | +5511991993757          | +551138039982  |
| Carolina Cavenaghi     | Regional Specialist           | 2310SO  |                         |                         | +551193316115           | +551132060009  |
| Maqda Civile           | Project Assistant             | 3400SO  | +551132060030           |                         | +551186264096           | +551135891996  |
| Eduardo Cotrim         | VP/Research Analyst           | 3400SO  |                         |                         | +5511991555943          | +551155811620  |
| Cesar Dammous          | Mgr-Investment Risk           | 8520SO  |                         |                         | +5511997647310          | +551132060038  |
| Leticia Fenton         | Office Manager                | 3430RI  | +552125432413           |                         | +5521981184281          | +552122364120  |
| Marcio Ferracini       | Senior Analyst-MOCS-GTS       | 3310SO  | +551132060031           |                         | +5511997848679          | +5511997848679 |
| Fabio Freiberg Peacoré | Business Operations Executive | 3310SO  | +551132060018           |                         | +5511971590123          | +5511971590123 |
| Carlos Gomes Filho     | VP/Research Analyst           | 3420SO  |                         |                         | +552181115575           | +552127090487  |
| Marcus Gonçalves       | Dir-Intl Advisory Services    | 2310SO  | +551132060011           | +5511992952307          |                         |                |
| Marcos Hara            | Investment Risk Analyst       | 8520SO  |                         |                         | +551183397592           | +551132060016  |
| Vitor Luspion Perillo  | VP/Research Analyst           | 3400SO  | +551132060026           |                         | +551181165358           | +5511791512    |
| Daniel Machado         | Sr Compliance Analyst-Portf   | 8520SO  | +5511999999999          | +5511999999999          | +5511899966400          | +5511989966400 |
| Luciana Motta          | Sr Client Service Associate   | 2310SO  |                         |                         | +5511994187818          | +551125036252  |
| Marcos Mandim          | SVP/Sr Exec Director          | 3430RI  | +552125432413           |                         | +5521992526368          | +552122752486  |

Maiores informações e detalhes estão apresentados nos documentos anexos: “BIA”, “BCP\_eGRC” e “Pandemic\_eGRC”