



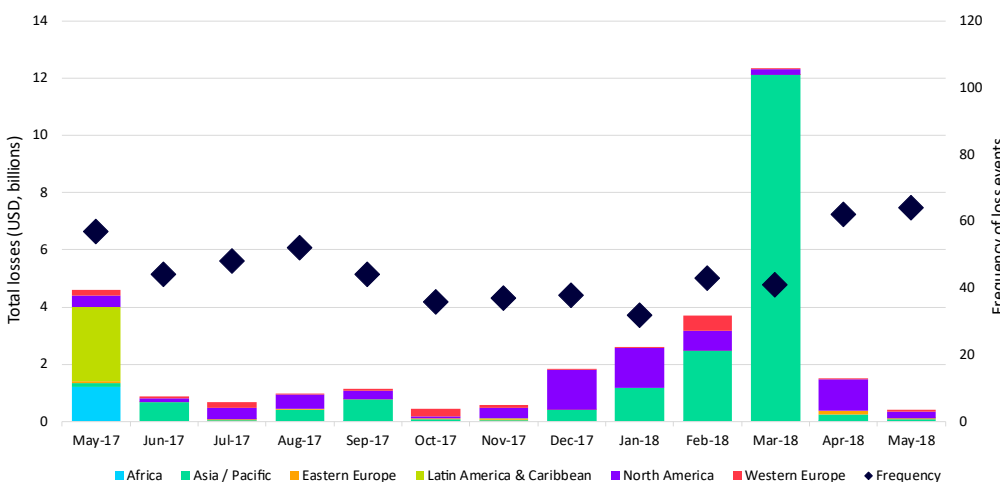
ORX News top five largest loss events: May 2018

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| Rank | Loss amount | Summary | Location | Business Line | Event Type |
|------|-------------------------------------|---------------------------------------------------------------------------------------------------------------------------|--------------------|---------------------------|----------------------------------------------|
| 1 | Wells Fargo & Company – \$97.3m | Wells Fargo to pay USD 97.3 million to employees in class action over denied rest breaks. | United States | BL0301 Retail Banking | EL0301 Employee Relations |
| 2 | EI Bank – \$35.8m | EI Bank allegedly defrauded of around RUB 2.2 billion in loans fraudulently issued to shell companies by bank executives. | Russian Federation | BL0401 Commercial Banking | EL0102 Internal Theft & Fraud |
| 3 | Société Générale – \$26.9m | Société Générale to pay EUR 22.9 million in compensation to Helaba over cum-ex trades tax payment. | Germany | BL0601 Custody Services | EL0402 Improper Business or Market Practices |
| 4 | LPL Financial Holdings – \$25.9m | LPL Financial reaches USD 25.9 million settlement with state securities regulators over sales of unregistered securities. | United States | BL0801 Retail Brokerage | EL0402 Improper Business or Market Practices |
| 5 | National Bank of Pakistan – \$25.8m | National Bank of Pakistan executives arrested over PKR 3 billion letters of credit fraud. | Pakistan | BL0401 Commercial Banking | EL0102 Internal Theft & Fraud |

The operational risk year to date

Summary of distribution, frequency and severity of ORX News event digests.



ORX News

ORX News is an industry-leading provider of publicly reported operational risk loss data.

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