

REP018 Operational and Security Risk

Special Instructions

Please attach results (as a single PDF document) of the latest:

- Assessment of the operational and security risks related to the payment services the firm provides; and
- Assessment of the adequacy of the mitigation measures and control mechanisms implemented in response to those risks.

The operational and security risk assessment should include all the requirements contained in the EBA Guidelines for operational and security risks of payments services as issued at 12 December 2017. These include:

- A list of business functions, supporting processes and information assets supporting payment services provided and classified by their criticality
- Risk assessment of functions, processes and assets against all known threats and vulnerabilities
- Description of security measures to mitigate security and operational risks identified as a result of the above assessment
- Conclusions of the results of the risk assessment and summary of actions required as a result of this assessment

The assessment of the adequacy of mitigation measures and control mechanisms should include all the requirements contained in the EBA Guidelines for operational and security risks of payments services as issued at 12 December 2017. These include

- Summary description of methodology used to assess effectiveness and adequacy of mitigation measures and control mechanisms
- Assessment of adequacy and effectiveness of mitigation measures and control mechanisms
- Conclusions on any deficiencies identified as a result of the assessment and proposed corrective actions

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| 1  | Are you submitting an operational and security risk report this quarter?<br><i>If you answer 'No', Questions 2 to 9 do not need to be completed.</i>             | Yes/No                   |
| 2  | Date Assessment of the operational and security risks was performed  | dd/mm/yyyy               |
| 3  | Date Assessment of the adequacy of the mitigation measures and control mechanisms to mitigate Operational and Security risks was performed                       | dd/mm/yyyy               |
| 4  | Were any deficiencies identified in the assessment of adequacy of mitigation measures?   | Yes/No                   |
| 5  | Summarise the deficiencies identified in question 4 ( <i>up to 400 characters - full details should be included in the attached report</i> )                     | String of 400 characters |
| 6  | Date of last audit of security measures  | dd/mm/yyyy               |
| 7  | Summary of issues identified in last audit of security measures ( <i>up to 400 characters - full details should be included in the attached report</i> )         | String of 400 characters |
| 8  | Summary of action taken to mitigate any issues identified in question 7 ( <i>up to 400 characters - full details should be included in the attached report</i> ) | String of 400 characters |
| 9  | Number of security related customer complaints to senior management during the reporting period.   | Number                   |
| 10 | Are you applying the 'corporate payment exemption' under Article 17 of Commission Delegated Regulation (EU) 2018/389?  | Y/N                      |