

# Compliance with DORA and similar regulatory frameworks in EU & UK for Low-Risk ICT Providers to Financial Institution Clients

At Altus Group, we recognize the importance of aligning with region-specific regulations, such as the Digital Operational Resilience Act (DORA), the NIS-2 directive, the EBA Outsourcing Guidelines, the UK's operational resilience framework as set out by the FCA and PRA (including FCA SYSC 15 and the PRA's Operational Resilience Framework (PS6/21) ("**Relevant Requirements**")) to support the operational resilience of our financial sector clients.

The Relevant Requirements focus on ensuring the continuity and security of critical services provided to financial institutions, and while we deem that our services are classified as low-risk, we take appropriate steps to meet these standards.

## How We Support Financial Entities' Resilience Needs

Our approach to operational resilience includes robust measures designed to provide peace of mind for financial entities using our services. These measures are tailored to the needs of low-risk providers like us, ensuring compliance without unnecessary complexity. Our key practices include:

- A comprehensive **Incident Response Plan**, ensuring swift action in the event of a disruption.
- Regular testing of **Disaster Recovery** protocols to minimize downtime.
- Industry-standard **Security Measures**, such as encryption and data protection.
- Continuous monitoring and improvement of our operational processes to maintain service reliability.

These practices align with the Relevant Requirements' core principles, supporting the resilience of our financial sector clients while acknowledging our low-risk profile. You can find more detailed information in our organizational protocols and our suite of certifications in the list of Quick Links of our Trust Center.

## Further Resources and Information

While we ensure that our operational resilience measures are in line with regulatory frameworks, we recommend that financial entities perform their own risk assessments to confirm compliance with their specific needs. For additional information on how we support resilience, please review our **organizational protocols, certifications, and security documentation** all accessible over the Quick Links or contact us.