

May 2026

INTERNAL

Information Security & Compliance Attestation

FUNDS  AXIS

Date:	May 2026
Attested by:	Trevor Dempster, Chief Information Security Officer (CISO)
Company:	Funds-Axis Limited
Office Location:	60 Cannon Street, London, EC4N 6NP, United Kingdom
Certifications:	ISO/IEC 27001:2022, ISO 9001:2015
Frameworks:	DORA, NIS2, GDPR, UK DPA 2018

1. Executive Summary

Funds-Axis Limited, a London-based RegTech firm, hereby certifies that all staff have undergone mandatory Information Security Awareness and Digital Operational Resilience training. This training is aligned with Good Industry Practice and the requirements of the Digital Operational Resilience Act (DORA). The programme ensures staff are equipped to uphold the highest standards of security, resilience, and regulatory compliance.

2. Attestation Statement

Funds-Axis Limited certifies that all employees have completed structured training programmes covering Information Security Awareness and Digital Operational Resilience. These programmes are designed and delivered in accordance with Good Industry Practice and the requirements of DORA. Training records are maintained by HR and reviewed annually. The programme is overseen by the Information Security Officer (ISO) and forms part of the company's ISO 27001-aligned Information Security Management System (ISMS).

3. Training Programme Overview

- \ **Induction Training:** Covers information security responsibilities and operational resilience principles.
- \ **Annual Refresher Training:** Delivered via ATLAS Funds Training platform.
- \ **Mandatory Annual Staff Declaration:** Confirms completion and understanding of security responsibilities.
- \ **Work-from-Home Security Training:** Covers secure handling of data, device protection, and confidentiality.
- \ **Role-Specific Training:** Provided to staff with elevated access or operational responsibilities.

4. Governance and Oversight

The Information Security Officer (ISO) is responsible for the implementation and oversight of the training programme. Training content is reviewed annually and updated to reflect changes in the threat landscape, regulatory requirements, and internal policies. Compliance is monitored through HR records, internal audits, and staff declarations.

5. Compliance Alignment

The training programme aligns with the following standards and regulations:

- \ ISO 27001 Information Security Management System
- \ Digital Operational Resilience Act (DORA)
- \ UK Data Protection Act 2018
- \ General Data Protection Regulation (GDPR)
- \ Good Industry Practice for Regulated Financial Services

6. Appendices

- \ A1.01 Cyber Security Policy Part 1: Internal Organisation
- \ A1.02 Cyber Security Policy Part 2: Funds-Axis Technology Overview
- \ A1.6 Incident Management Policy
- \ A1.8 Business Continuity & Disaster Recovery Plan
- \ Threat Intelligence Policy
- \ Staff Handbook
- \ Joiner/Leaver Procedure
- \ Training and Employee Review Policy
- \ Compliance Report on Digital Operational Resilience