



13	Coverage EEA KOPs	[REDACTED]	 Coverage KOPs - EEA Customers.docx	Excerpt from coverage KOPs (Page 40 – MIFID II & EEA section, pages 148-150 Cross border EEA section).
14	KYC EEA KOPs	[REDACTED]	 KYC KOPs - EEA Customers.docx	Excerpt from KYC KOPs (EEA Customer Identification)

For new / amended controls provide related:

- 1. Policy / KOP / other relevant process documentation and approval evidence/*
- 2. For F3 / F4 findings and Obligations also provide sufficient samples to justify operating effectiveness as per the sample size aligned to the control frequency in appendix 2 (note the optional sample size reduction for findings validation)*

For new system / system changes: Provide evidence that the release has been approved by the relevant SMEs and, where expected for material changes, also attach the final BRD and evidence of approval by the relevant SMEs

For internal use only

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