

DSB SERVICE LEVEL POLICY

1 GENERAL

- 1.1 This Service Level Policy sets out the Service Levels that will apply to the DSB Services that the DSB will provide to a User.
- 1.2 This Service Level Policy forms part of the Agreement agreed between the User and the DSB. Defined terms shall have the same meaning as set out in the main terms of the Agreement and as otherwise set out herein.

2 AVAILABILITY

- 2.1 The DSB Service target availability for all Production Users is as follows:

| Availability Hours | SLA | Permitted Outage per year |
|--|-------|---------------------------|
| 24x6.5, Sunday 12:30 to Sunday 00:30 UTC | 99.9% | 8 hours 8 minutes |

Availability for non-Production Users may differ, please see <https://www.anna-dsb.com/operating-hours-and-holidays/> for more details.

- 2.2 DSB start of day will be 00:00:00 UTC at which time ISIN snapshots (i.e. all active OTC ISINs) will be created.
- 2.3 The DSB target Availability is 99.9% across all Users at all times.
- 2.4 Availability will be measured by the following formula:

$$\text{Availability} = \frac{\text{Total Actual Uptime}}{\text{Planned Uptime}} \times 100$$

- 2.5 For the purposes of paragraph 2.4 above, reference to “**Planned Uptime**” shall mean the total possible uptime minutes during the 8,136 ¹Availability Hours described in paragraph 2.1 excluding any Scheduled Maintenance (as defined in paragraph 2.6). Total Actual Uptime shall be calculated by subtracting the total duration of all Critical Incidents (as defined in paragraph 3.3 below) from the Planned Uptime.
- 2.6 Release/maintenance tasks will ordinarily be undertaken in production by DSB between Sunday 00:30 and 12:30 UTC. In exceptional circumstances, the DSB may perform release/maintenance tasks within the Availability Hours by providing a minimum of 4 weeks’ notice to Users. In such circumstances, the DSB will endeavour to select a time that minimises disruption to the majority of Users. Availability will exclude Scheduled Maintenance. “**Scheduled Maintenance**” shall mean the period of time during which the DSB carries out software or hardware or configuration changes to the DSB Service.
- 2.7 The DSB reserves the right to amend the Service Levels from time to time to ensure that the DSB Service remains operationally and commercially viable for the DSB.

3 INCIDENT MANAGEMENT

- 3.1 Each party shall notify the other as soon as it becomes aware of an Incident. If the User is the

¹ 365 days * 24 hours = 8,760 hours; 52 weeks * 12 hours = 624 hours; 8,760 – 624 = 8,136 hours

notifying party it shall provide as much detail as practicable to the DSB in relation to the Incident.

- 3.2 The User will contact the DSB support team at technical.support@anna-dsb.com in the event of any Incident. The DSB support team will subsequently escalate matters in accordance with the severity attributed to it at time of reporting.

3.3 Classification of Incidents

| Severity | Definition |
|---------------|---|
| Critical (S1) | <p>Critical production issue that severely impacts the DSB Service for all Users. The situation halts business operations and no procedural workaround exists.</p> <p>DSB Service is down or unavailable. Major data elements are corrupted or lost and must be restored from backup. A critical documented feature / function is not available.</p> |
| Major (S2) | <p>Major functionality is impacted or significant performance degradation is experienced and is not a Critical Incident. The situation is causing a high impact to some Users' business operations and no reasonable workaround exists.</p> <p>DSB Service is operational but highly degraded performance to the point of major impact on usage. Important features of the system offering are unavailable with no acceptable workaround; however, operations can continue in a restricted fashion.</p> |
| Minor (S3) | <p>There is a partial, loss of use of the DSB Service with a medium-to-low impact on your business, but your business continues to function that is not a Critical Incident or a Major Incident. Short-term workaround is available, but not scalable.</p> |
| Cosmetic (S4) | <p>Inquiry regarding a routine technical issue; information requested on application capabilities, navigation, installation or configuration; bug affecting a small number of users. Acceptable workaround available.</p> |

- 3.4 The DSB shall use reasonable endeavors to remedy all Incidents notified to it that pertain to the DSB Service.
- 3.5 The DSB shall provide such information to the User as it deems necessary to keep the User informed of progress of the remedial activities being undertaken by the DSB in accordance with paragraph 3.4 and shall provide such other information as reasonably requested by the User pertaining to the rectification of an Incident.
- 3.6 Users undertake to remedy any incidents identified with their individual connections in a reasonable and prompt manner.
- 3.7 DSB's obligations set out in paragraph 3 shall be the User's sole and exclusive remedy for failure of the DSB Service to meet the Service Levels (howsoever such failure is caused).

4 LATENCY AND THROUGHPUT

4.1 The following latency Service Levels shall apply to the DSB Service:

| Variable | Notes / Description | Est. Value |
|----------|--|------------|
| Latency | Messages routed through the system are to be processed and delivered (to a maximum of 200 recipients) in the following intervals (after receipt). This time measures the elapsed time from when the incoming message hits the DSB Firewall and the outgoing message hits the DSB Firewall: | |
| | 99% of all messages for workflows related to ISIN Record retrieval by ISIN code | 500ms |
| | 99% of all messages for workflows related to ISIN Record retrieval by ISIN attributes | 1,000ms |
| | 99% of all messages for workflows related to ISIN Create Requests | 1,000ms |
| | 99% of all messages for workflows related to ISIN Search (wildcard search by metadata) | 5,000ms |

5 SERVICE ENHANCEMENTS

- 5.1 The DSB will endeavour to make all changes backwardly compatible as far as reasonably practicable.
- 5.2 The DSB will provide ninety (90) days' notice (via email) advising of planned major technical enhancements that will be made to the DSB Service. Users will be able to commence use of any new product definitions and other functionality as they become technologically ready.
- 5.3 The DSB may from time to time introduce new product templates and services as follows:
- (a) **Mandatory Enhancements** : introduced to ensure the DSB Services comply with requirements and timeframes set by Regulations i.e. in respect of the format of the ISINs which Users must adopt as soon as they are made available by the DSB;
 - (b) **Discretionary Enhancements** : introduced to enhance the functionality of the DSB Services i.e. new product templates or new DSB Services. Users shall have the right to adopt discretionary enhancements made available by the DSB at any time.

6 SERVICE LEVEL RECORDS

- 6.1 The DSB will provide a User with such information as reasonably requested relating to Service Level performance of the DSB Service.