

## 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- ("Service Level Policy").
- 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 Users in the Production Usersenvironment is as follows:

Availability Hours	SLA	Permitted Outage per year
24x6.5, Sunday 00:30 to 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~~The measurement period from the availability Service Level shall be the start of day will be 00:00:00 UTC at which time ISIN and UPI snapshots for the respective OTC ISIN and UPI Services (i.e., all active OTC-ISINs and UPIs) will be created.
- 2.3 The DSB target Availability is 99.9% across all Users at all times during the Availability Hours<sup>1</sup>
- 2.4 Availability will be measured by using 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<sup>2</sup> Availability 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. The calculation of Availability will shall exclude Scheduled Maintenance. "Scheduled Maintenance" shall mean the period of time during which the DSB carries out software-of hardware or configuration changes to the DSB Service- ("Scheduled Maintenance").
- 2.7 The DSB reserves the right to amend the Service Levels from time to time to ensure that the DSB

<sup>1</sup> 365 days \* 24 hours = 8,760 hours; 52 weeks \* 12 hours = 624 hours; 8,760 - 624 = 8,136 hours

<sup>2</sup> 365 days \* 24 hours = 8,760 hours; 52 weeks \* 12 hours = 624 hours; 8,760 - 624 = 8,136 hours See Footnote 1

Service remains operationally and commercially viable for the DSB.

### 3 INCIDENT MANAGEMENT

- 3.1 Each party shall notify the other ~~as soon as~~ **if** it becomes aware of an Incident ~~in accordance with paragraph 6.2 of the Main Terms~~. If the User is the notifying party it shall provide as much detail as practicable to the DSB in relation to the Incident.
- 3.2 ~~The User~~ **Users of OTC ISIN Services** will contact the DSB support team at [technical.support@anna-dsb.com](mailto:technical.support@anna-dsb.com) in the event of any Incident. ~~Users of UPI Services will contact the DSB support team through the Client Onboarding and Support Platform (COSP)~~. The DSB support team will subsequently escalate matters in accordance with the severity attributed to it ~~by the DSB at the time of reporting~~ **notification or following the User's notification**.
- 3.3 Classification of Incidents:

Severity	Definition
<b>Critical (S1)</b>	<p>Critical production issue that severely impacts the DSB Service for all Users. The <del>situation</del> <b>Incident</b> halts business operations and no procedural workaround exists-;</p> <p>DSB Service is down or unavailable-;</p> <p>Major data elements are corrupted or lost and must be restored from backup-;</p> <p><del>or</del></p> <p>A critical documented feature / function is not available.</p>
<b>Major (S2)</b>	<p>Major functionality is impacted, or significant performance degradation is experienced and is not a Critical Incident-;</p> <p>The <del>situation</del> <b>Incident</b> 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-; <del>or</del></p> <p>Important features of the system offering are unavailable with no acceptable workaround; however, operations can continue in a restricted fashion.</p>
<b>Minor (S3)</b>	<p>There is a partial, loss of use of the DSB Service with a medium-to-low impact on <del>your</del> <b>a User's</b> business, but <del>your</del> <b>the User's</b> business continues to function <del>that, but the Incident is not a</del> <b>neither Critical Incident or a</b> <del>Major Incident as defined above</del>. Short-term workaround is available, but not scalable.</p>

Severity	Definition
<b>Cosmetic (S4)</b>	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.

- 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 that shall apply to the DSB Service are maintained on the DSB website. In line with the DSB's standard practice, Users will be provided with ninety (90) days' notice (via email) advising of any changes to these Service Levels.

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

**Commented [A1]:** The Technical Advisory Committee is currently being consulted on a potential revision to the Latency Service Levels for OTC ISIN, given that the UPI will be created as part of the OTC ISIN generation process. The website (per the link provided in 4.1) will be updated to reflect the agreed Service Levels for both OTC ISIN and UPI, with Service Levels for UPI expected at a minimum to be equivalent for OTC ISIN.

## 5 SERVICE ENHANCEMENTS

~~5.1 The DSB will endeavour to make all changes backwardly compatible as far as reasonably practicable.~~

~~5.25.1~~ The DSB will provide to Users 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.

~~5.35.2~~ 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 and/or UPLs 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. in new product templates or new DSB Services. Users shall have the right to adopt discretionary enhancements made available by the DSB at any time.

~~5.3 The DSB will endeavour to make all service enhancements backwardly compatible as far as reasonably practicable.~~

## 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.