



Service Provider Policy

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Version 2.0

COMPLIANCE SERVICES

DATA SERVICES

INTERMEDIARY SERVICES

RISK SERVICES

Empowering the Financial Services Industry.

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Version 2.0*

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1. General Agreement

1.1 Purpose of agreement

This Agreement contains all the terms and procedures that shall apply to the Services provided by the Service Provider to the Client regarding the Work Hours, maintenance, support services and procedure to follow when requesting support services.

1.1.1.1 General responsibilities of parties

- 1.2.1 The Service Provider is responsible for the proper operation of the environment of the Service. The Service includes; maintaining the general availability and performance of the Astute Online System, the integrity of the data and the timely accessibility of new data, supplying end user support and the implementation of changes.
- 1.2.2 The Client is responsible for the proper use of the service environment. This means that the Clients shall comply with the agreements and procedures as set out in the relevant Service Agreement and Service-related documents.

2. Service Description

| | |
|-------------------------------|---|
| Service Name | Astute Online |
| Service Owner | Executive: Products and Client Services |
| Primary User | Astute Customers |
| Other Users | Astute Internal Support, Product Owners |
| Primary Locations | System interphases |
| Functional Description | System platform providing access to authorised users to Astute Services. |
| Scope of the Service | This service provides online and integrated services to intermediaries, content providers, FNA's and Approved users |
| Related Services | Reporting |
| Application Services | Users of the Service are able to manage, input and view information according to strict authorisation criteria. |

3. Service and Enquiry Levels

3.1.1.1 Support hours

| Service hours | |
|------------------|--|
| Attended hours | Client Support – 8am to 5pm during Work Hours, excluding weekends and public holidays. Business hours, initiated through the service desk |
| Unattended hours | Weekend and public holidays |

3.1.1.2 System availability

| Astute Online System Availability | |
|-----------------------------------|---|
| Availability | 24/7, 365 days |
| Reliability | 95% uptime (Uptime excludes scheduled maintenance where Astute Online System will be unavailable) |
| Recovery and Service Continuity | 6hrs to return to basic functionality in production |

| Scheduled Maintenance (Major/Minor) | |
|-------------------------------------|---|
| Total-time | One maintenance window per month (preferably over a weekend) |
| When | Monthly |
| Duration | Period not exceeding 48 hours. (Major maintenance example: Server defragmentation – Minor: Server patching and reboot requirements) |

| Scheduled Disaster Recovery Exercise | |
|--------------------------------------|--|
| Total-time | One planned DR exercise per annum |
| When | Yearly |
| Duration | Period not exceeding 48 hours. Exercise to be planned over a weekend or public holiday |

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| Unscheduled maintenance (Any maintenance that is required outside of the scheduled windows due to emergency requirements and unforeseen system unavailability) | |
| Total-time | The required time to ensure system is available and stable. |
| When | As per requirement, and ad-hoc unforeseen system unavailability |
| Duration | Where possible according to the Priority timelines as per section 4.2.6 below. |

3.1.1.3 Client support – Enquiries, Fault Logging and Assistance

3.1.2 The Client shall appoint an Authorised Representative who shall be the Communication point between the Service Provider and the Client relating to all fault logging and/or enquiries relating to the Astute Database and/or Astute Online System.

3.1.3 Call Logging Procedure

| Client support | Office hours | Standby hours |
|-------------------|--|---------------|
| Opening hours | 8am to 5pm Weekdays only, excluding weekends and public holidays | Not available |
| Name Service Desk | Astute Service Desk | |
| Tel. | 0861 278 883 / 011 214 0903 | |
| E-Mail | Support@astutefse.com | |

3.1.3.1 All call loggings shall be closed by the Service Provider upon the acknowledgement of the Client that all calls and/or requests have been successfully completed and the Services utilised on the Astute Online platform are in operation again.

3.1.3.2 In the event of a temporary workaround, the call enquiry shall be placed in a pending state until such time the fault is either resolved or closed by mutual consent.

3.1.3.3 Incident and request logging

| Client support | Response time |
|-------------------------|---------------------------------------|
| Telephonic support | Call to be answered within 30 Seconds |
| Telephonic abandon rate | 95% call answer rate |
| Email | 2 hours response |

4. SUPPORT, CLASSIFICATION AND ESCALATION

- 4.1 All priority 1 (P1) calls shall deal with total system unavailability support requests.
- 4.2 All enquiries shall be divided in the following severity levels:
 - 4.2.1 Critical – Complete degradation – all users and key functions affected. The Service is completely unavailable.
 - 4.2.2 Severe – Significant degradation – large number of users or key functions of the Services affected;
 - 4.2.3 Medium – Limited degradation – limited number of users or functions of the Service are affected. Business processes can continue.
 - 4.2.4 Minor – Small degradation – few users or one user affected. Business processes can continue.

4.2.5 Table of Severity levels

| Priority level | Description | Examples |
|----------------|---|---|
| P1 | The Astute Online System is unable to operate in a substantial manner | Service is inoperable or requires a reboot at least once every 24hrs, or suffers at least 25% data throughput reduction, data corruption or data loss. Revenue is being lost or service levels are severely affected and the restoration is vital for the Service Provider to avoid further revenue losses. |

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| P2 | <p>The Astute Online System is impaired, not in a manner where it remains largely operational.</p> <p>The Astute Online System is operational, but has problem that causes regular system failures or repeated failures whenever a specific function or facility is invoked.</p> | <p>The Astute Online System is operational, but has a problem that causes regular errors in the Content which have a material impact on the use the Content for the intended purpose by Intermediaries.</p> |
| P3 | <p>The Astute Online System is operational but has a minor problem that does not affect the use of data in the short term.</p> <p>Typically a problem that occurs occasionally without undue difficulty or disruption to operations.</p> | <p>The baseline services includes problem/defect repair for the product's components only. The Service Provider is responsible for all the back-to-back maintenance and support agreements with the suppliers of the associated third party products that does not form part of the developed product application system. This includes contract negotiations, contract renewals, upliftments to meet the services required, contract payments and contract management.</p> |
| P4 | <p>The Astute Online System is fully operational but a minor change is required, typically cosmetic.</p> | <p>The Astute Online System exhibits a cosmetic problem which does not prevent the Client from operating.</p> |

4.2.6 Target Response and Restore Time during Work Hours

| Priority level | Definition | Time to respond (during working hours) | Target Restore time |
|----------------|---------------------------|--|--|
| P1 | Critical - Incident | 1 Hours | 4 Hours |
| P2 | Serious - Incident | 2 Hours | 3 Business days |
| P3 | Medium - Incident | 4 Hours | 5 Business days |
| P4 | Low – Request/information | Request – 3 Business days or as per agreed timeframe | Information – 1 day Minor change request – 8 business days Major change request – 12 business days or as per agreed timeframe. |

4.2.7 Escalation

4.2.7.1 Should the Service Provider not have responded within the agreed time frame, it will be escalated to the relevant management levels and within the relevant time frames which shall consist of the following:

Service Desk → Operations Manager → Strategic Business Enablement Manager → Executive: Products and Client Services → Chief Information Officer

4.2.7.2 The Service Provider will always endeavour to resolve the problems and/or enquiries as swiftly as possible.

4.2.7.3 However the aforementioned time frames are only a guideline as the nature and causes of problems can vary enormously.

4.2.7.4 In all events the Service Provider will use its best efforts to resolve the problems as quickly as possible and will provide frequent progress reports to the Client.

5 Amendments to the service

5.1 Procedure

5.1.1 The initial period for review will run for 6 months, where after an agreed period of 12 months will take effect. This can result in amendments to the Services. An amendment to the Service can result in changes to the IT infrastructure and vice versa. Therefore an amendment to the Service or IT infrastructure must be authorized through standard change procedures (CAB authorization).

5.1.2 During the Initial Period there will be a number of Service reviews. The purpose of these reviews is to see if Service Levels are met and, if not, to take necessary measures to stay in line with the Service. In case the outcome of a review shows that certain thresholds are passed, the Service can also be amended and discussed as stated above.

5.2 Amendments to the Service

5.2.1 Reasons for amendments to the Service may be due to, but not limited to:

- Incident is raised during the execution of such Services that would benefit from changes or improvement;
- Changes in the nature and requirements for Services as provided and requested by the Client.

5.2.2 Minor changes shall be amendments to the Service and/or service levels that do not directly lead to Service reviews and renegotiation. A minor amendment list is included in **Annexure “SPP2A”**.

5.3 Thresholds

5.3.1 An ad hoc Service review will be initiated whenever the number of minor amendments recorded in **Annexure “SPP2A”** exceeds a total of 4 changes.

5.4 Service Reviews

The Service is reviewed regularly on the basis of service level reporting. The outcome of the aforementioned reviews may result in renegotiation and/or amendments of the Service, and once a year, in prolongation or even termination of the Service.

5.5 Planned Service Reviews

5.5.1 The Service Provider shall attempt to hold at least 2 reviews per annum. The first review shall be after 6 months and the second review shall be after 12 months.

5.5.2 Unplanned or ad hoc Service reviews can be held when thresholds are passed.

5.6 Service Charges

5.6.1 All prices in respect of the Services shall be contained in the applicable Service Appendix and must be read in conjunction with the Master Service Agreement and the Service Agreement.

6 Annexure “SPP2A” – Definitions and Terms

| | |
|----------------------------|--|
| Agreed Metric | The Service-metric used, together with its target outcome, to define a service level. |
| Attended Hours | The usage period(s) in which full system availability and performance is delivered at the service levels specified. |
| Availability | The totality of interruption-free parts of the opening hours in which the Client can make use of the system, expressed in a percentage. |
| Basic Functionality | Basic, contingency level functionality. In other words: the minimum level of functionality needed to start up primary processes. |
| CAB | Change Advisory Board, i.e. A representative group of people who are responsible for assessing, from both a business and a technical viewpoint, all rfc's. They advise on the priorities of rfc's and propose allocations of resources to implement those changes. |
| Change Management | The process of controlling and managing requests to effect changes to the IT Infrastructure or any aspect of IT services, and of controlling and managing the implementation of those changes that are subsequently given approval. |
| Contingency | An unplanned event of which the effect on IT service provision exceeds formerly specified thresholds. |
| Deliverables | Tangible output of an information system (IS). |

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| Diversion | A measure to cope with a contingency by which some or all parts of IT service provision are diverted to other locations and or facilities. |
| Fix Time | Recovery time, time needed to fix an interruption. |
| Full Functionality | Full, contingency level functionality. In other words: the highest level of functionality provided in contingency situations. |
| Service Desk | An organizational unit which is responsible to perform end user support tasks regarding IT services. |
| Host Response Time | Average time between arrival of a command at the entry point of the host and reply by the host at its exit point to these commands |
| Interruption | A continuous period during opening hours in which the service or a service component is not available |
| Maintenance Hours | The period(s) in which system maintenance is or can be performed. During this period the service is totally unavailable to the Clients. Service levels are not guaranteed. |
| Measuring Period | A specification of the period at which a service level is measured and reported. |
| Network Response Time | Average time between arrival of a command at the entry point of the network and arrival of this command at the entry point of its destination. |

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| Office Hours | The period(s) which are the regular working hours of the business employees. Normally these hours are also used as opening hours for the user support group(s). |
| Opening Hours | Service hours, i.e., a reference period during which the Service is provided. |
| Performance | The level of achievement of a service or system. System performance for instance, can be expressed in response time, throughput time or turnaround time. |
| Reliability | The number or frequency of interruptions allowed during a discrete period. |
| Reaction Time | The time between notification of the Service Desk and action by the Service Desk. |
| Retention Time | Period of time an certain object is safeguarded. |
| RFC | Request for Change, i.e. A form or screen used to record details of a request for a change to any component of an IT infrastructure or any aspect of IT services |
| RFC Assessment | The process of assessing all (possible) effects of a requested change, time and money needed etc. Resulting in authorization or negation of a RFC. |
| RFC Confirmation | A confirmation of reception of the RFC to the sender of the RFC. |

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|---------------------------------------|---|
| Service | An IT service, i.e.: a compound of IT facilities, applications and/or supporting processes delivered by an IT service organization. |
| Service Level | The level of quality at which an IT service aspect is delivered. |
| Service Level Management | The process that manages IT service provision in a business-wise manner by means of sla's. |
| Service-Level-Period | See: measuring period. |
| Service Level Agreement Metric | Metric or formula at which an agreed service level is measured. |
| Service Review | Evaluation of the actual service levels provided against the service level targets, but in particular the perceived service quality as expected from these targets. |
| Standby Hours | The period outside the office hours at which no regular user support is available. Support can only be obtained in exceptional situations by means of standby arrangements. |
| System | Either an information system or computer system. A computer system can be part of an information system. A system can be part of a service. |
| Throughput Time | The time elapsed between the moment of arrival at a processing unit of a block of data and the moment the processed block of data leaves that unit again. Throughput time will be verified by means of a periodic, representative sample. |

| | |
|---------------------------|--|
| Turnaround Time | The average time between a request of information and the delivery of output. |
| Unattended Hours | The usage period(s) outside the attended hours, during which the service is available. Service levels are not guaranteed or guaranteed at a specified lower level. |
| User Response Time | The average time between entry of commands into the system and reply by the system to these commands on user screen. |
| User Support Group | See: Service Desk. |