

## Appendix SMT1 SMT Services Phase 1 – Full Service.

### Service Definition

Task	Measure
<b>Service Definition</b>	
<p>SMT Services Phase 1 – Full Service (Service) is a subset of the services offered by the Equias Central Matching Service (CMS). The Service delivers a central infrastructure to small and medium sized trading companies (Reportee) and to their larger counterpart who performs regulatory reporting on behalf of the Reportee under the terms of a separate bilateral agreement between the Reportee and the Reporter.</p> <p>A pre-requisite for the Service is that the Reporter is using the Equias eRR and is acting in the role of Reporting Agent with respect to Reportee, as defined in Clause 5 Agent Reporting of the eRR (Electronic Regulatory Reporting) - Appendix 3 to the Equias GTC; and/or as defined in Clause 5 Agent Reporting eRR REMIT (Electronic Regulatory Reporting - REMIT) Sub Appendix to the Equias GTC, to report on behalf of the Reportee under those terms.</p> <p>Where this is the case the Service provides Reportee with access to the eRR Service to fulfill their regulatory obligations to monitor reporting performed by Reporter on their behalf under the terms of the agreement between them, and assists Reportee in this task through provision of functionalities described in this Service Description.</p> <p>The Service hosts and runs the SMT Services Phase 1 – Full Service module as a service.</p> <p>The Service will be responsible for communications between the CMS and the Licensed Users.</p>	
<b>CMS Administration Processes</b>	
<i>Client maintenance</i>	
Adding organisations to the CMS	Part of the SMT Services Phase 1 – Full Service client on-boarding plan
Testing with new CMS organisations – communications and trial document transfer	Part of the SMT Services Phase 1 – Full Service client on-boarding plan
Training of new CMS users – business	Part of the SMT Services Phase 1 – Full Service client on-boarding plan
Resolution of breaks in the service availability (e.g. portal or CMS unavailable)	P1 (see issues below)
<b>System Availability</b>	
System availability	24x7, 99% available for all planned hours, measured on a calendar month basis. Excludes planned and emergency outages as defined below
Planned outages	An allowance for planned outages of 2 hours per day plus one additional outage of not more than 8 hours in any one calendar month with 1 calendar week's notice Any outage on a weekday to be between 20:00 and 08:00 UK time
Emergency outages	An allowance for single planned outage of not more than 4 hours in any two calendar months with 2 business days' notice within or outside of standard and skeleton support hours

Task	Measure
<b>Support Windows</b>	
Standard support	Helpdesk available from 08:00 – 18:00 UK time Monday – Friday excluding UK public holidays
Skeleton support	Helpdesk available from 09:00 – 17:00 UK time for any UK public holidays (excluding Christmas and Easter) falling on a Monday – Friday
Emergency support	All times outside of Standard and Skeleton support hours
No support	No support provided on the following days: Christmas day (25 December) New Year's day (1 January) Good Friday (varies) Easter Monday (varies)
<b>Monitoring</b>	
System availability	Ongoing 24x7
Network availability	Ongoing 24x7
Pending email sending process?	Every 60 minutes. A configuration whereby the client wishes to receive the dashboard via email (xlsx file) is not executed and the email is pending at the CMS will automatically raise an alert at P2
<b>Issues – Definition</b>	
P1 Definition	Major failure of service for one or more clients, no workaround exists for at least one client.
P2 Definition	Major failure of service for one or more clients, where a workaround exists for all affected clients.
P3 Definition	Any other help desk call (fault, clarification, support) for one or more clients.
Change Request Definition	Request for change to the service and/or application by a registered user.
Information Request Definition	Request for information regarding the CMS by any party
<b>Issues – Response times</b>	
<i>Standard support</i> The Standard Support SLAs apply only during standard support hours. The timings for responding/updating shall stop at the end of a standard support day and start again at the start of the next standard support day. The service shall continue to provide updates to affected CMS users until the issue has been resolved.	
P1	Investigation within 10 minutes of automated notification Response to call in 30 minutes. Update to client every 1 hours within Standard Support hours.

Task	Measure
P2	Response to call in 120 minutes. Update to client every 4 hours within Standard Support hours.
P3	Response to call in one business day. Update to client upon request.
Change Request	Response to call in one business day.
Information Requests	Response to call in one business day.
<i>Skeleton support</i> The Skeleton Support SLAs apply only during skeleton support hours. The timings for responding/updating are documented within each issue level	
P1	Investigation within 10 minutes of automated notification Response to call in 120 minutes. Update to client every 2 hours between 09:00 – 17:00 UK time.
P2	Response to call in 240 minutes. Update to client every 4 hours from 09:00 – 17:00 UK time until Standard support restarts.
P3	No action
Change Request	No action
Information requests	No action
<i>Emergency support</i> The Emergency Support SLAs apply outside of both standard and skeleton support hours. The timings for responding/updating are documented within each issue level	
P1	Emergency number supplied. Investigation within 60 minutes of automated notification Response to call on emergency number within 120 minutes. Update to client every 4 hours between 09:00 – 17:00 UK time.
P2	No action
P3	No action
Change Request	No action
Information requests	No action
<b>Performance</b>	
Performance requirement for email processing	7000 emails processed in 60 minutes
Performance requirement for CMS SMT Phase1 Full Service application screen response	Screen will refresh in no more than 3seconds
<b>Security of data</b>	
N/A – Addressed in the document “Central Matching Service Data Security Policy”	
<b>Service reporting – KPIs</b>	
The CMS application will be available as per the System Availability statement.	Service Availability measured on a calendar month basis as a percentage of available time Service Availability for any month will be published within one week of the month end

Task	Measure
<p>The CMS application meets the performance requirements as agreed in the Acceptance Measures and Criteria, e.g. 7,000 emails processed in 60 minutes Screen will refresh in no more than 3seconds</p>	<p>Performance measured on a calendar month basis: 95% of measured events meet or exceed the stated performance measure for that event Performance for any month will be published within one week of the month end</p>
<p>The CMS team (Helpdesk) respond to logged issues as per the Issues statement.</p>	<p>Response time measured on a calendar month basis: 99% of all P1 issues meet or exceed the stated response measures 95% of all other issues meet or exceed the stated response measures for that issue level Response time for any month will be published within one week of the month end</p>
<p>Report on the time taken for the CMS team (Helpdesk) to resolve issues (issue fix time)</p>	<p>By issue severity, the time taken to resolve an issue. Issue fix time for any month will be published within one week of the month end.</p>
<p>CMS team (Helpdesk) to report on number of incidents raised (by criticality)</p>	<p>The number of incidents raised in a given period and how they are distributed across the criticality levels, will be published within one week of the month end</p>

## Service Specific Terms and Conditions

### 1. Reporting On Behalf of Others (“ROBO”) Dashboard – Reportee View

The ROBO dashboard provides Licensed User, in the role of Reportee, with real time on-line information that summarises all reports that have been submitted to the eRR Service on Reportee’s behalf by Reporter; or which have been submitted by the Licensed User themselves (self-reporting), where Licensed User of this Service is also a Licensed User of the eRR Service as further defined in Appendix 3 and Sub-Appendix to Appendix 3 to the Equias GTCs. The dashboard includes summary information for all such reports and is not limited to any specific regulatory regime or underlying reporting destination. Information in the dashboard view is normalised to a sufficient extent such that reports from diverse underlying formats are presented together providing a single point of monitoring and control for Licensed User for all reports submitted by, and/or attributable to them, within the eRR Service.

### 2. ROBO Dashboard Download

The ROBO Reporting Dashboard described in clause 1 (Reporting On Behalf of Others (“ROBO”) Dashboard – Reportee View) can be manually downloaded by Licensed User in the role of Reportee in the excel file format (XLSX)

### 3. Regulatory Reporting Compliance File Download

To help in the fulfilment of Reportees’ regulatory obligations to verify the content of the regulatory reports made on their behalf by Reporter, Reportees can manually download all reported files attributable to them, covering all regulatory regimes and reporting destinations. These files can be downloaded in the native regulatory target formats for a user defined reporting period (start and end date) applying to the date of the submission of the report.

### 4. Indemnity

Any Licensed User shall, upon demand, keep Equias indemnified from and against all damages, losses, fines, costs, charges and expenses whatsoever and howsoever incurred or sustained by Equias and caused by a Licensed User, arising from: (i) an error, mistake, omission, delay, rejected or misreported submission represented by the ROBO Dashboard or Regulatory Reporting Compliance File Download by a Licenses User or from following the Licensed User’s communicated Standing Instructions; (ii) an error, mistake, omission, delay, rejected or misreported submission by a Licensed User on behalf of its counterparty or from following a Licensed User’s communicated Standing Instructions applicable to its counterparty ; and/or (iii) an omission, delay or failure by a Licensed User to make or maintain contractual arrangements with a Trade Repository or other Reporting Recipient, as applicable.

### 5. Priority

This Appendix shall take precedence over the GTC, the Accession Agreement, the Schedules, the other Appendices and all other agreements between Equias and Licensed User, if any, but only in so far as those other Agreements, Schedules or Appendices relate to the subject matter of this Appendix.

## Service Price Schedule

Refer to SMT Schedule 1 Fee Schedule to the Equias General Terms and Conditions