

# SOFiE Sort Batch - Service Contracts

U IT is an independent RegTech company fully dedicated to the Legal Reporting domain in Luxembourg. Since 2010, we supported more than 490 customers including 45 banks and became a reliable and trusted reference.

The practical objective of this service is to provide serenity to our customers by offering guarantees that the legal reports will be sent in due time to the regulators. Depending on your needs and agreements set with the regulators, this offer is adaptable.

## Contract standards

- Fixed costs under a yearly contract agreement starting the first month of a new year.
- SLA with two characteristics: maximum times to 1: acknowledge and 2: solve an issue.
- Defined number of maintenance or critic interventions by period (quarter, semester or year).
- Support of the most recent Windows OS.
- Detailed security settings to apply to protect confidential reported data from unsolicited access.

## Contract specificities

- Three pre-defined levels of contract : Light, Standard and Premium.
- Personalization of the contract : adapt or modify any parameters to respond to your needs
- Extension of the contract to support other SOFiE account, batched or not (FATCA/CRS/Other types)
- Includes the support of U IT SOFiE Toolbox tools

## Pricing

A yearly and fixed price is calculated based on a fee schedule under the following parameters :

- Contract level.
- Category level.
- Personalization and additional services added.
- Extra support to supplementary dedicated services or developments.

## Support & Guarantees

A team of SOFiE experts is ready to respond to any incident, maintenance or special need :

- Solve common workflow issues (encryption/sending/reception/decryption – security issues).
- Resolve and find a permanent solution if repetitive problems are encountered.
- Handle the renewal of certificates and guarantee a minimum downtime of the service.
- Help to organise the test when a new type of report is launched.
- Migrate the environment on a new server/OS

We provide our customers the insurance to send the right report at the right time and keep the regulators satisfied.

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## Contract levels

<b>Light - 48/96</b>	Acknowledge problem within 48h Solve or find acceptable temporary solution within 96h	
Included phone & mail support between IT department and U IT support team	5 requests / quarter	
Included on-site maintenance intervention / period / Max length	1 / semester / Max 4 hours	
Included on-site critic intervention / period / Max length	1 / semester / Max 4 hours	
<i>Backup Security service contract - the customer's IT team is in charge of the SOFiE environment but can address U IT to solve difficult problems. This contract can be seen as an extra insurance which guarantees the availability of the solution.</i>		

<b>Standard - 24/48</b>	Acknowledge problem within 24h Solve or find acceptable temporary solution within 48h	
Included dedicated "know-how" support for Legal Reporting in general (expertise, advise, relations with participants, ...)		
Included phone & mail support between IT department and U IT support team	10 requests / quarter	
Included on-site maintenance intervention / period / Max length	1 / quarter / Max 4 hours	
Included on-site critic intervention / period / Max length	1 / quarter / Max 4 hours	
<i>Mixed Security service contract - U IT and the customer's IT team share their work, experience and knowledge in order to ensure the good operation of the SOFiE Environment.</i>		

<b>Premium - 4/8</b>	Acknowledge problem within 4h Solve or find acceptable temporary solution within 8h	
Included a direct end user email and phone line with U IT support team		
Included "U IT Simple DRP"		
Included dedicated "know-how" support for Legal Reporting in general (expertise, advise, relations with participants, ...)		
Included phone & mail support between IT department and U IT support team	unlimited	
Included on-site maintenance intervention / period / Max length	1 / quarter / Max 4 hours	
Included on-site critic intervention / period / Max length	unlimited	
<i>Highest security service contract - for companies who require strong technical guarantees for their SOFiE environment to meet the reports deadlines.</i>		

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## Practical information :

### Eligibility :

Our service contracts are bound to a SOFiE Batch installation performed by U IT – whether a new installation, or from a previously GUI (manual) configuration, or after a migration of an existing batched installation on a new environment.

It remains possible to apply this service offer to an existing SOFiE Batch environment, but U IT will first need to analyse and probably reconfigure some parameters in order to :

- Correct any misconfiguration and optimize the processes and workflows
- Clean and purge the SOFiE profile(s) of any unnecessary files & folders
- Study, understand and validate the updated configuration
- Perform a specific backup of all the mandatory component files of a SOFiE installation
- Create a detailed installation & configuration report of the environment

In this kind of situation, our best advice is to setup a new environment in parallel of the existing one and proceed with a switch of roles between the current production server and the newly configured one – U IT handles and guarantees all the migration

### Costs parameters :

The yearly service contract cost is based on two main variables :

- The volume of reports exchanged the previous full year (which will determine the category)
- The contract level chosen.

This cost can be furthermore adapted due to :

- additional SOFiE batched accounts (Sort or Business).
- merge with the SOFiE ToolBox service contract.
- extended support to other linked products or custom developed tools.

In order to determine the category, please contact CetrelSecurities (\*) to receive the following statistics :

- Last year total in/out of all the SOFiE account involved, sorted by account
- Variable : if available and depending on date, the current year first 3, 6 or 9 months

\* U IT can handle this task on demand

### Linked documents :

- Pricing simulation (price matrix – last year statistics required)
- Maintenance and support agreement template

# SOFiE Sort Batch - Service Contracts

These service contracts support the SOFiE Sort batched installation and the SOFiE ToolBox set of tools if available. In any case, this present offer is bound to a SOFiE Sort batch installation or a reconfiguration of an existing one performed by U IT.

Signature will be considered only once the document will be fully filled and accepted by both parties – two “checkbox” representing the final acknowledgment of both parties have to be checked”

The SOFiE Sort Batch installation offer and SOFiE Toolbox license agreement are in separated documents.

## Your information

Please conserve the document and fill the following information details on this page, save and send us a copy by mail.

### Company information

Name :  
 Street, number & other :  
 Postal code & Town :

Date :  
 (yyyy/mm/dd)

### Contact information (not mandatory if already filled in other document)

Main contact	Phone:
Email:	Title:
Other contact 1	Phone:
Email:	Title:
Other contact 2	Phone:
Email:	Title:

Your notes & special conditions :

### Annexe documents acceptance :

- Price Matrix
- Maintenance and support Agreement
- Annexe 1 (confidentiality & security rules)

Other custom annexe documents acceptance :

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## Pricing

In order to apply to this offer, please complete the following fields or options, print and sign this page of document and send us a hard copy by ground mail -or- electronically sign the filled document + send us a copy by e-mail.

**Standard service & maintenance contract:**

Service contract level :

Volume category :

Service contract initial yearly cost (based on S.C level + Category)

EUR

**Contract customization (to fill if non-standard as per to contract level chosen) :**

SLA - Acknowledge problem within :

SLA - Solve or find acceptable temporary solution within :

Included on-site critic intervention / period / max length :

Included on-site maintenance intervention / period / max length :

Included dedicated "know-how" support for Legal Reporting (yes/no) :

Included "U IT Simple DRP" (yes/no) :

Included a direct end user phone line & email with U IT support team (yes/no) :

**Total additional costs of customizations :**

EUR

U IT notes & special conditions :

Total current year remaining service contract costs :

EUR

Total yearly service contract costs :

EUR

Accept the contract :

For

For U IT

Mr/Mrs

Mr/Mrs

Mr Alexandre THILMANY

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