



# **Service Level Agreement**

between SIX and Network Partners

Annex 2 to the Framework Network Partner Agreement



## Information

This document serves as an annex to the existing Framework Network Partner Agreement on Connection to eBill Infrastructure for Invoice Issuer (Annex 1) in place between SIX and the network partner ("Agreement").

SIX BBS Ltd ("SIX") reserves the right to make binding amendments or additions to the Operating Agreement at any time that affect the network partner. The network partner shall be notified by appropriate means of any changes to the service level agreement at least six (6) months prior to those changes taking effect. Should the network partner be unable to accept or implement a change, it shall be entitled to effect extraordinary termination of the Agreement, with a notice period of two (2) months and effective from the date on which the change enters into force in accordance with section 11.2 of the Agreement. If such termination does not occur, the amended version of the Operating Agreement shall automatically become an integral part of the Agreement upon its entry into force.

## Purpose

The service level agreements define the services that SIX provides to the network partner.



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## 1. Availability of eBill Infrastructure

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All systems necessary for providing the eBill service are operated at the SIX data center and monitored continuously. They are available 24 hours a day, 7 days a week and 365 days a year. The data centers at which the eBill infrastructure is operated are located in Switzerland. The data may also be accessed only from Switzerland and Liechtenstein.

### 1.1 System Lines

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The eBill infrastructure is operated simultaneously across multiple system lines. There are two system lines available for the network partners and other system participants to use. These are the production platform (P level) and the test platform (X level).

### 1.2 Service Availability

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As regards availability, there is a distinction between basic operation and failures.

Basic operation ensures that the infrastructure continues to run around the clock. This includes automatic monitoring, initial malfunction assessments and troubleshooting carried out as quickly as possible. Depending on the nature of the malfunction(s), the appropriate actions are taken to make the platform available again in time for the start of service operation.

No.	Service	Provided	
1	Basic operation	24/7 (excl maintenance windows)	
2	Failures	Total failure	max. 12h
		Partial failure	max. 24h

#### Comments:

1. All production systems are operated by SIX and monitored continuously. They are configured in accordance with the SIX security and operational guidelines and are available 24 hours a day, 7 days a week and 365 days a year. There is an identical production system at the SIX backup data center in case the main system should fail. The process of switching from the main system to the backup system is tested every year as part of group-wide verification of the backup data center's capabilities.
2. Response times and feedback on troubleshooting included.



### 1.3 Operating Levels

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Operation of the eBill infrastructure is split into three operating levels. These complement each other and, in the event of a malfunction, trigger different response deadlines for rectifying the malfunction.

#### 1.3.1 Basic operation

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Basic operation ensures that the eBill infrastructure continues to run around the clock. This includes automatic monitoring, initial malfunction assessments and troubleshooting carried out as quickly as possible. Depending on the nature of the malfunction(s), the appropriate actions are taken to make the platform available again in time for the start of service operation.

#### 1.3.2 Service operation

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During service operation, employees are deployed to start immediately on localizing the fault and/or eliminating the cause, in addition to the automatic monitoring provided in basic operation. Maintenance work is scheduled outside service hours (with the exception of the maintenance window).

#### 1.3.3 Support operation

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During support operation, the SIX support team is also available to provide Level 2 support and handle both malfunction reports and support requests from network partners. Network partners provide Level 1 support to their customers. Support provides Level 2 support to the participating network partners. Customers are referred to their respective network partners. Support requests via telephone or e-mail are subject to charge.

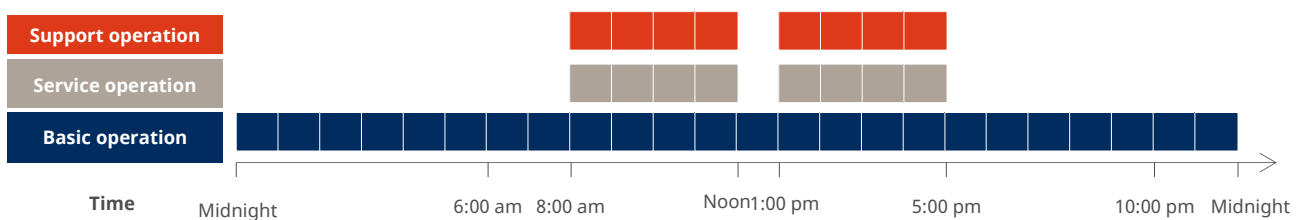


Figure 1: Operating levels of the production systems



The following readiness and response times, as well as malfunction and support teams, apply to the operating levels:

	Basic operation	Service operation	Support operation <sup>1</sup>
Standby times	24/7	<b>Bank working days:</b> 8:00 am–12:00 noon 1:00 pm–5:00 pm	<b>Bank working days:</b> 8:00 am–12:00 noon 1:00 pm–5:00 pm
Response time	Immediately from start of service operation	Within 60 minutes	Telephone: immediately E-mail: within 4 h
Malfunction reporting center	Active	Active	Inactive
Support team	Inactive	Inactive	Active

<sup>1</sup> The support office closes one hour early on the day before a holiday observed by the bank. These holidays follow the Swiss banking holiday calendar of SIX Interbank Clearing Ltd.

**Comments:**

Automatic monitoring: 24/7, 365 days a year



## 2. Support for the eBill Service

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The SIX support team is available to network partners during support operation as a single point of contact (SPOC) for all operational questions concerning the eBill service.

Via the SPOC, SIX fields both second-level support requests and malfunction reports as well as general questions from network partners.

Invoice issuers wishing to submit support requests directly to SIX are referred to their respective network partners.

The SIX support team will provide information to employees of the network partners only if they are known to SIX and possess the appropriate support authorization. For this purpose, SIX maintains identification details in its systems concerning network partner employees with support authorization. Known employees of the network partners may authorize new employees to obtain support. The process for this authorization involves SIX sending an e-mail to an employee already known to it asking this employee to confirm authorization of the new employee. If this request is confirmed, the new employee will be granted authorization and will receive information from that point onward. A copy of the request will be sent to the main contact at the network partner.

Support authorization for network partner employees can be canceled at any time by sending an e-mail to the SIX support team.

SIX sends the list of network partner employees with support authorization to the network partner's main contact for review once per year. This enables changes to the network partner's personnel to be identified and adjustments to be made accordingly.

### 2.1 Response Times per Communication Channel

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The following response times apply to each communication channel:

Communication channel	Response time
Telephone support	Immediately during support operation
E-mail support	Within 4 hours during support operation
Malfunction reporting center	No support (malfunction reporting only)



### 3. Maintenance of eBill Infrastructure

Maintenance work on production systems covers work and activities relating to the eBill infrastructure (servers, databases, peripheral equipment such as network etc.) and applications.

#### 3.1 Maintenance Scheduling/Window

The rate of use of the eBill functions in the e-banking systems is at its highest at the beginning and end of each calendar month. No non-emergency maintenance work is scheduled during this period so as to keep system availability high. However, the possibility of such work needing to take place cannot always be entirely ruled out owing to technical interdependencies of shared IT systems within SIX Group Ltd. Whenever possible, SIX schedules maintenance work between the 5th and 22nd of each month and outside service operation. SIX reserves the right to carry out maintenance at other times in exceptional cases. Maintenance times are based on customer usage times. SIX will use the maintenance window during service operation (6 am–7 am) no more than twice per month.

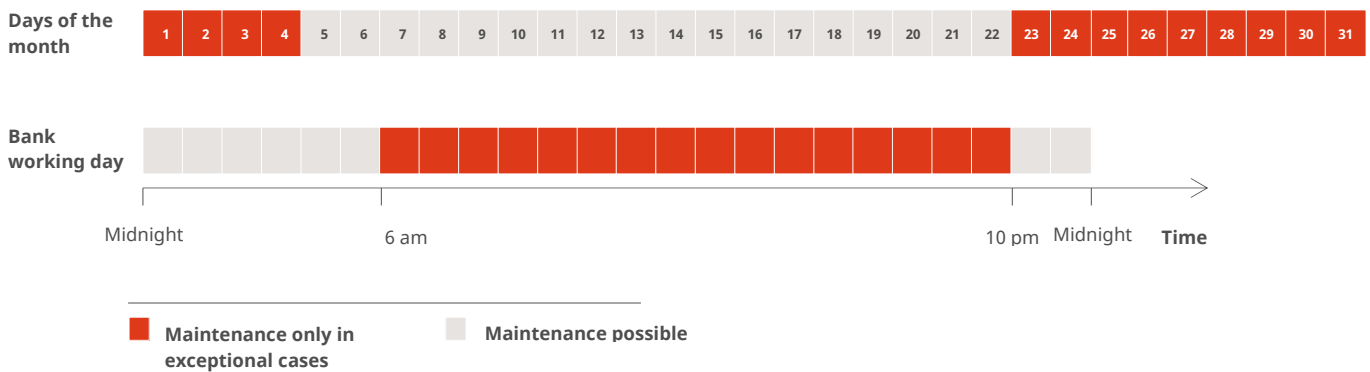


Figure 2: Maintenance windows for production systems

#### 3.2 Frequency and Advance Notification

Notification is sent via e-mail in advance concerning scheduled system downtime for maintenance purposes and again once maintenance work is complete.

Maintenance work usually takes place outside service operation.

Unscheduled system downtime for maintenance purposes takes place only when absolutely necessary and will be announced via e-mail, with further information provided once it is complete.

A network partner’s main contact defines which teams are to be informed of maintenance work.

Information concerning the status and progress of maintenance work cannot be provided while it is ongoing. In the event of delays, information will be provided at the start of service hours at the latest.

Subscribing to and unsubscribing from e-mail notifications are handled by Support.



Depending on the duration of maintenance, the following applies:

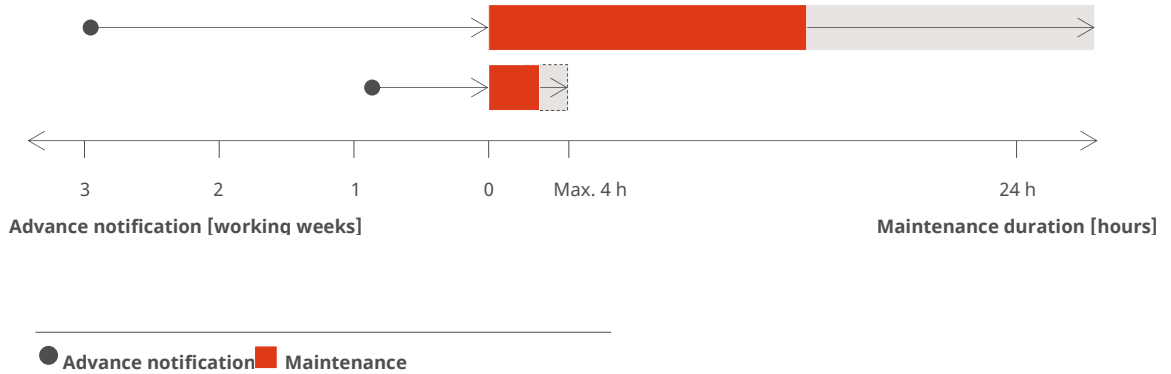


Figure 3: Advance notification deadlines for maintenance on production systems

Duration	Advance notification	Max. frequency	Comments
Up to 4 h	One (1) working week	4 per month	If possible, during maintenance window on a bank working day
More than 4 h	Ten (10) working days	2 per quarter	On Fridays, from 10 pm until 7 am on Monday

## 4. Information Authorization

There are different types of information authorization for invoice issuers and the eBill service.

### 4.1 Invoice Issuer

The following shows the authorization matrix for telephone information requests from invoice issuers at SIX:

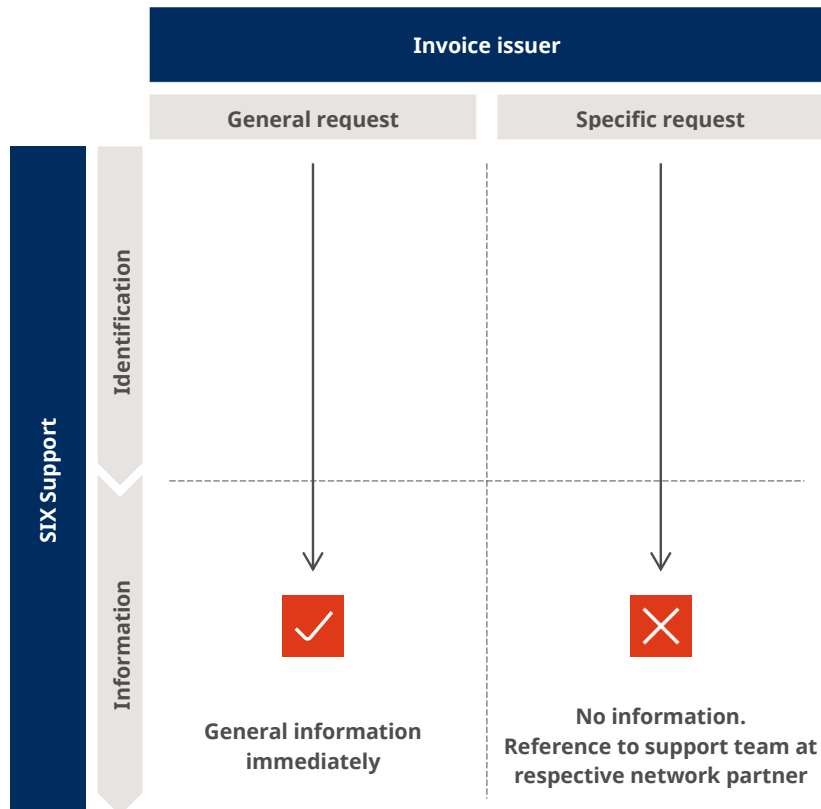


Figure 4: General authorization matrix for information provided to invoice issuers

**Comments:**

- General requests from invoice issuers to Support are answered as a rule
- Specific requests are not answered. Invoice issuers are referred to the support team at the respective network partner

## 4.2 eBill Service

The following shows the authorization matrix for telephone information requests from network partners concerning the eBill service:

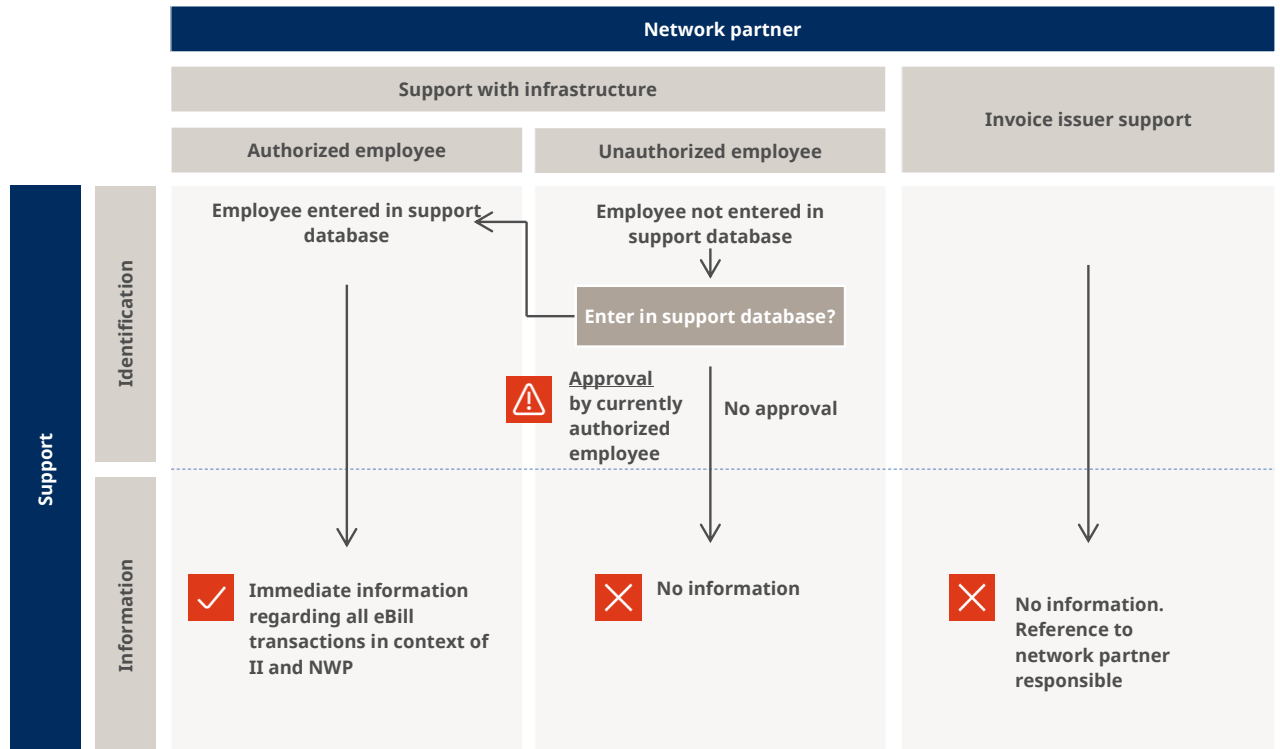


Figure 5: Authorization matrix for the eBill service

**Comment:**

The main contact at a network partner for the eBill service defines employees authorized to receive information by name; these are documented as users in the SIX Support database.