REFINITIV™

Statement of Service

Refinitiv

Contents

End-to-End Service

In order to provide the best possible service, Refinitiv is fully committed to ensuring that you, our customer, receive a professional and seamless experience, from the day you hear about our offerings until the end or renewal of your contract. This document outlines what you can expect as a Refinitiv customer regardless of the product to which you may subscribe.

We are continually developing new ways of enhancing our processes and service offerings to keep pace with market dynamics. As we continue to develop and improve, we will keep you updated on our latest enhancements, content and capabilities.

This document is available for prospective and current customers of Refinitiv. It covers the current service offerings, giving an overview of the wealth of expertise available within Refinitiv, and aims to set your general expectations. If you have any further questions, do not hesitate to contact us in any of the channels listed below. Information about the service design of specific products is available upon request in the form of a Service Description (where available).

1. Discover

A. CONTACT

To speak with someone immediately at Refinitiv, please contact us at Help and Support. Current customers of Refinitiv can also contact us through the following channels:

A. Account Team

Refinitiv customers benefit from careful account management with an Account Manager assigned to each account. Additionally, we may augment your Account Team with other specialists relevant to your needs, depending on the scale and scope of your relationship with us. Your Account Team will be your primary point of contact and is fully supported by experts across Refinitiv to ensure you have professional customer experience from initial engagement through set-up, implementation, training, support and ongoing account management activities.

B. Refinitiv Customer Support

Refinitiv Customer Support team can serve as a point of contact for you to learn more about our products and offerings (You can learn how to contact Customer Support in Section 6).

C. My Refinitiv

MyRefinitiv is the entry point to an interactive customer experience delivered through a high-performing, personalized, secure portal that empowers you to get the trusted answers you need. It is now available via browser on desktop, smartphone and tablets. Through My Refinitiv you can:

- Find product information including FAQs and the latest guides
- Subscribe to product notifications, data alerts and other updates
- Access tools and information to help IT and Data Managers administer users, subscriptions and your overall account
- Learn about our electronic invoicing capabilities
- Find answers to your questions

D. Online

To access more information about Refinitiv products, you can access our catalog of offerings on MyRefinitiv.

2. Evaluate

A. DEMONSTRATIONS AND TRIALS

A. Demonstrations

Where possible, your Account Team can arrange a product demonstration from the variety of assets Refinitiv has in its portfolio, and coordinate with our specialists in order to answer any of your questions, address your needs and walk you through the features and functionalities that might be of interest to you.

B. Trials

Free trials are available for some Refinitiv products. To find out whether we can provide a free trial for the product in which you are interested, please contact your Account Team / contact us at [Help and Support](#) through the online portal (for new customers). Alternatively, you can click 'Request a Free Trial' via the product pages on My Refinitiv to see whether a trial is possible.

B. ACCESS TO EXPERTS

We have experts with deep content, market segment, product, technical and customer workflow knowledge. These professionals are available to work with you to explain how our offerings can meet your requirements and assist your decision in purchasing a Refinitiv. The Account team assigned to you will be able to engage these experts if helpful to you in evaluating our products or services.

3. Purchase & Renew

A. ORDERING

A number of products are available to order through self-service tools (for a list of products available through self-service, refer to [MyRefinitiv](#)). Currently self-service ordering is only available for My Account customers. If your product is not on the list, please contact your Account Team to order.

To request additional positions, cancellations, and other changes to services, please contact your Account Team. In some cases, it is possible to order more of the same service/s either via self-serve tools such as License Management or by emailing your Account Team.

B. EXCHANGES AND THIRD PARTY SERVICES

As well as the standard Refinitiv data packages, you can add a variety of global exchange data (e.g. NYSE, CBOT) and Specialist data (e.g. First Call, S&P) to your service.

A. Third Party Provider Additional Terms

In addition to the rights and restrictions set out in agreement(s) that you have entered into with member(s) of the Refinitiv group, your use of Refinitiv services is subject to additional terms from third party providers.

B. Exchange and Third Party Data Pages on My Account

Guidance and useful information about the pricing and policies related to Exchanges and Third Party Data Providers can be accessed on [MyRefinitiv](#).

C. Access Statements (AS) and Datafeed Access Declarations (DAD)

If you are using an enterprise feed or a customer managed delivery mechanism that requires you to submit Access Declarations, Order Management Specialists are your main contact point for the reporting requirements. Access Declarations may take the form of a Datafeed Access Declaration or an Access Statement.

You will be sent a DAD to complete on a quarterly basis. The Access Statement interface is easy to access, interpret and navigate, and these can be reviewed directly from My Refinitiv. We are in process of migrating all customers from the DAD to the Access Statement for completion in 2018.You are required to report the access count of each relevant Refinitiv service and each exchange or third-party service. Notifications on My Refinitiv and via email will keep you informed of key deadline dates so you can be confident of any actions required. For more information, please contact your Account Manager.

When the Access Statement declaration period closes, your billing for the forthcoming period will be updated to reflect your declared position.

For directly billed exchanges, you have the obligation to report access counts directly to the exchange.

C. LICENSE MANAGEMENT

Refinitiv offers an increasing variety of customer self-administration tools through License Management. License Management, allows you to manage your users and products via [MyRefinitiv](#). Features include the ability to: create users; maintain user details; order new licenses for products and exchanges; allocate licenses to users; swap licenses between users; move licenses and users to different location accounts; and unsubscribe licenses.

D. BILLING AND PAYMENT SUPPORT

Billing arrangements vary by customer and location; with selected products being handled through self-service tools (refer to [My Refinitiv](#)). When the service is available for use, billing is activated in accordance with the customer agreement. In the case of overdue payments, the invoice is passed to our Credit Management team for follow-up until paid.

A. Invoices

Recurring invoices are generated in line with the billing frequency as determined by your contract. Where possible, invoices are sent electronically and are accessed via My Refinitiv. Payment of the invoice is due as defined by the terms of your agreement. The invoice will provide instructions about how to pay the invoice. Additionally, the invoice will provide contact information in case of any billing related queries.

4. Setup

A. PROFESSIONAL IMPLEMENTATION SERVICES

Refinitiv Professional Services and Implementation are a group of professionals with product and technology expertise who deliver upgrades, installation, technical training and change related implementations for the entire range of Refinitiv products for customers, be it remotely or on site. All of our services are project managed and delivered by skilled and experienced professionals.

Depending on product offering, complexity and scope of the deployment as well as level of customization or integration into / with customer infrastructure and architecture, our services are part of the product subscription or on an additional charge basis. For some of our products we offer a choice of self service, remote or in person assistance.

B. PLANNING

During the planning phase, roles and responsibilities will be defined and arrangements for the delivery will be made in collaboration wih you. To complete the installation, we may need to know details of the environment and network involved. If this is a requirement for the product in question, it is important that all information requested is returned promptly to ensure an order progresses and delays are not incurred. Various propositions require an assessment and signed Statement of Work that documents all dependencies, deliverables, in-scope and out-of-scope elements before setup can start. Once all the necessary information has been received and collated, we can initiate arrangements for circuits, equipment and network allocations or any other dependencies, if needed. After all arrangements have been confirmed, we will advise on provisional date(s) for the installation or service.

C. EXECUTION

Refinitiv Professional Services and Implementation offers a consistent project management experience with a well-defined communication management strategy for all product and/or services implementations. Before an installation can be completed, we will engage with all parties to deliver the service (e.g. circuits, hardware, permissioning). The progress of an order is regularly monitored and updates will be given throughout the order lifecycle.

During this stage, you are asked to prepare for the installation. We will provide information regarding environmental and network requirements. For example, you may need to configure routers, DNS servers and firewalls. PCs and operating systems may also need to meet a required specification. Depending on the type of support you have requested, remote or on-site access may need to be organized.

The physical installation of Refinitiv products will be completed in accordance with our standards. For customer-managed installations, we will provide the necessary technical/product documentation for you to carry out your own installations, whilst still being able to support the process remotely. Any specific customer-site policies Refinitiv engineers need to adhere to must be communicated at the time of placing your order. Assuming your request does not conflict with Refiniiv Health & Safety guidelines or other Refinitivpolicies, the Refinitiv engineer(s) should adhere to them (although adherence may be subject to additional charges).

Installations will be completed between 9am and 5pm on normal business days. We recognize the criticality of the business environment; therefore other installation times can be accommodated, but may be subject to additional charges.

D. SIGN OFF AND CLOSURE

An installation will be tested using proven procedures before it is considered complete. During a project closure, you will be debriefed and presented with a service record confirming that the work has been completed. In some cases, you may be asked to sign an acceptance of the work undertaken. Refinitiv Professional Services and Implementation will ensure that the implemented solution is transferred in to our Customer Support team and ready for production use. For an additional charge, a Refinitiv engineer will be present the business day following an installation to offer morning cover. With acceptance of the delivered service, all pertinent parties are informed that the installed services are operational in the production environment and an invoice will be released to you for payment.

E. REFINITIV MANAGED DEVICES

If Refinitiv deploys a Managed Device to a site to facilitate the delivery of products, the device will be treated as an integral part of the service we deliver, with incremental security and functionality updates. To ensure you always have the best access to our services, we ask that all Refinitiv Managed Device upgrades be complete within a four-week cycle. Ten working days notification will be given for each upgrade, with the functionality stated in the release. Refinitivreserves the right to amend this lead time to accommodate for emergency maintenance, such as industry wide security patches, since these updates are typically required to maintain the integrity of the service. Postponements can only be made due to extenuating circumstances, which will need to be approved by Refinitiv (e.g. market event, or scheduled change freeze). A postponement date will be scheduled immediately. If updates are not rescheduled or confirmed, we will update our managed infrastructure to assure integrity of our services. If we have been prohibited in maintaining our operational policies and standards, where necessary, we may remove the Managed Device to protect our services and other customers.

5. Product & Usage

A. SECURITY

Our Information Security policy, aligned to the NIST Cybersecurity Framework, is endorsed by the Refinitiv Executive Committee. This policy mandates the security principles that apply to our people, process and technology. These policies and supporting standards are reviewed and updated as necessary to take into account evolving technical risks as well as regulatory changes and our customers' needs for information security

Our Information Security Risk Management (ISRM) function is responsible for ensuring applications, platforms and infrastructure are protected and our customer data is safeguarded. Refinitiv places security at the heart of what we do. As a result, we have built our organizational structure with information security at its core.

A. Information Security

We understand the importance of keeping personal data secure and our information security policies and practices are a fundamental part of this commitment. We use data classifications to ensure that security protections are appropriate to the level of risk attaching to data we are protecting. Additionally, our security strategy includes appropriate security controls are communicated to application owners and technology teams across the business to support the secure development of products and a secure operating environment. This is all done to mitigate threats to the confidentiality, integrity and availability of customer data which we store, process or transmit. We support a program that includes:

- Security monitoring
- System monitoring
- Vulnerability scanning
- Encryption
- Patch management
- Virus protection
- Infrastructure security
- Device lockdown

B. Physical Security

All strategic data centers are managed to the standards within Refinitiv Corporate Security Policy guidelines based on best practices in the industry. These guidelines include requirements for physical security, building maintenance, fire suppression, air

conditioning, UPS with generator back-up, and access to diverse power and communications. Our policy requires that each and every facility be subject to comprehensive audits.

A variety of secure methods are used to control access to our facilities. Depending on the sensitivity of the facility, these methods may include: the use of security staff, ID cards, electronic access control incorporating proximity card readers, pin numbers or biometric devices.

Our information security program (including our infrastructure, technical controls, processes, policies and certifications) is also reviewed and updated periodically considering technical risks; regulatory changes and our customers' needs for information security.

C. Business Continuity and Disaster Recovery

The financial community is exposed to an increasing array of potential risks that could impact our critical business functions or services following a disruptive incident. The goal of our Business Continuity and Disaster Recovery strategy and plans is to ensure our continued ability to serve you and to protect our people and assets.

We have an established global, structured framework, designed to ensure that Refinitiv is prepared should a disruptive incident occur. This approach addresses disruptions of varying scope, including, but not limited to, large-scale location-specific events and Refinitiv-only disruptive incidents.

Central to our efforts is a requirement that we develop, test and maintain business continuity plans for each of our critical functions. Our strategy and plans include leveraging our global resources and infrastructure based on business requirements and as dictated by the specific crisis event.

D. PRIVACY

Refinitiv respects privacy and seeks to protect personal data in accordance with our own privacy policy and external privacy statement. Our privacy statement outlines how we collect personal information on individuals and how we use the personal information.

E. CODE OF CONDUCT

The Refinitiv Supply Chain Ethical Code reflects our ethical values as an organization and our approach to doing business. It contains important company policies and also gives examples of what the policies mean, when to ask questions, where to go for help, and why ethical conduct is so important to us. The code applies to all directors, officers and employees of Refinitiv.

F. AUDIT AND COMPLIANCE

We have internal audit and assurance groups that review technical and financial controls. The groups include both professionally qualified auditors and staff with specific technology backgrounds.

G. LEGAL AND REGULATORY

Our Global Legal department will interpret the laws and regulations that apply in the countries we operate in and provide appropriate policies to enable us to comply with them.

We operate a 24/7 Business Compliance and Ethics Hotline to report ethical, legal or policy issues.

6. Support

Refinitiv Customer Support is your central point of contact for all questions associated with our products & content.

A. SUPPORT CHANNELS

You can contact Refinitiv Customer Support in a number of ways: through the help or support sections of products or My Refinitiv, via Eikon Live Chat (if subscribed) or on the telephone.

The Support section of My Account allows you to send a Case (ticket) online to Customer Support. A Customer Support specialist will seek to contact you within 15 minutes of receiving your request and the cases can be tracked on My Refinitiv.

Whilst My Refinitiv provides a channel for all query types, you should always communicate critical issues to us in real-time via telephone or Eikon Live Chat (if subscribed).

For more details on the support available for your product, please visit MyRefinitiv.

B. RESPONSE TIMES

We offer the following standard response times to respond to your query. Please note that these may vary by product. For response times specific to your product, please refer to its Service Description (where available).

GET HELP

Live chat
Response within 1 minute

Global Contact Numbers
Response within 20 seconds

REFINITIV

MyRefinitiv
Response within 15 minutes

C. INCIDENT MANAGEMENT

Customer Support is your central point of contact for all questions associated with our products. We provide help desk support to resolve content, application and technical queries.

Customer Support is staffed with highly skilled and experienced service professionals who apply their expertise with the aim of resolving your questions quickly. When addressing more complex questions, the specialist may leverage the skills from within one of our other resolver groups to assist in answering your query in a timely way.

When you contact Refinitiv Support, we will log your query and provide you with a Case reference number. We will then carry out first-level analysis to answer your question.

Once your query is answered, we will verify that you have no further questions and then close the Case.

A. Severity Levels

Severity 1: Complete Loss of Service for Multiple users, or Business Critical
- Emergency situation in which both primary and any standby systems produce incorrect results, fail catastrophically or are otherwise rendered inoperable and in which all or multiple end users and experiencing the same failure
- Key real-time data from a "Premium" or Class "A" exchange, futures rollovers and real-time indices are either not available or not updating

Severity 2: Complete Loss of Service for a Single User, Loss of Resiliency
- Elements of Refinitiv service affecting multiple end users simultaneously is inoperative, which results in loss of content, functionality or degraded performance, but where a temporary workaround is available
- Compromised resiliency not directly impacting the customer
- Emergency situation whereby a single user workstation or single communication line delivered site has failed

Severity 3: Non-Service Affecting
- All password resets or new password requests
- Content search and explanation questions
- Functionality/How-to questions
- Non-service impacting requests, product enhancements, and routine maintenance

B. Major Incident Management

Refinitiv has a clear framework in place to deal with major incidents. The Major Incident Control process (MIC) is designed to coordinate service recovery efforts to ensure prompt restoration of service, and clear communications to customers affected. Once initiated the MIC process operates on a 24x7 basis until the incident is resolved.

B. TRAINING

Refinitiv training provides value-added training to our customers, including end users, market data, and IT support desks. You may request training or discuss training options online via our training website or by via the Help and Support page. For details on training specific to products, please refer to the product specific Service Descriptions (where available) available upon request or contact your Account Team.

C. REFINITIV DEVELOPER COMMUNITY

Refinitiv has a long history as a leader in open technologies and in serving the developer community globally. In maintaining that leadership commitment, the Refinitiv Developer Community Program continues to evolve to support the practices and ecosystems you need to respond to today's business challenges.

The Refinitiv Developer Community is designed to help financial developers, analysts, quants and market data professionals use Refinitiv APIs to integrate with the vast breadth of content, services and capabilities available through our open platforms.

The program offers access to technical information, learning materials, videos, articles, tools and developer day events delivered globally. This is backed by an advocacy and support program designed to help you build, test and release applications that power your business and fulfil your goals.

Joining couldn't be easier. Simply self-register on the Developer Portal (refinitiv.com/developers). Once registered, you will have immediate access to a huge library of resources and Q&A forums designed to help you get you job done. Additionally, you will receive invitations to events where you can learn about upcoming releases, new capabilities and network with peers from the developer community.

7. Evolution

A. UPGRADES

Notice of updates, upgrades and / or any other changes to Refinitiv products and services are typically made available via My Refinitiv or where required, in writing to key customer contacts. Refinitiv may provide a range of support services to assist during a transition to Refinitiv products, as well as during updates and upgrades from prior product versions. These services may include:

- Training: (as stated in the Support section above)
- Conversion assistance: Refinitiv may be able to assist in converting layouts, data, and technology configurations from a previous version of a Refinitiv product or from a competitor solution to a Refinitiv product. Any charges that may be incurred as a result of such assistance are typically agreed by both parties before such an engagement commences.
- Support: Refinitiv may provide support where you need assistance in resolving technical problems. This support includes telephone and/or online access to our helpdesk, or certain self-help tools (as stated in Support)

Refinitiv will use reasonable efforts to notify customers of significant changes to their service.

B. CANCELLATIONS

All cancellations must be notified to Refinitiv, in writing, in accordance with the cancellation terms specified in your agreements with us. You can request cancellation of a service by notifying Refinitiv through your Account Manager. In the case of certain services, services may be added or cancelled via Access Declarations which are user declarations made to us on a regular basis. Third Party Providers may have different cancellation terms and these will also typically be specified in your agreements with us, and in certain instances these may refer to the Third Party Providers' terms directly.

From time to time, TR may obsolete a Service as a whole, or a version of a Service. When this occurs, Refinitiv will provide advance notice of the obsolescence in accordance with the terms stated in your Agreement. Once the stated amount of time passes, Refinitiv may cease support for obsolete Services or versions of Services. In most instances, Services will ultimately terminate, however certain perpetual licenses for Software may continue without support.

Appendix 1 - Global Contact Numbers

Austria
0800.234.805

Argentina
0800.288.9999

Australia
1.800.630.128

Belgium
 English 0800.80.932
 French 0800.80.928

Bolivia
800.10.0277

Brazil
0800.891.7872

Canada
1800.738.8377

Chile
800.80.0058

China
4008.811.408
4006.399.215

Colombia
01.800.944.2979

Costa Rica
0800.011.0849

Denmark
803.09.696

Ecuador
1.866.222.0650

El Salvador
800.6122

Finland
0800.117.137

France
0800.97.0234

Guatemala
1.866.222.2581

Honduras
1.866.222.2605

Hong Kong
3009.5616

India
000.800.440.1976

Ireland
1.800.709.199

Italy
800.929.080

Japan
0120.161.916

Luxembourg
 French 800.23.989
 German 800.23.990

Mexico
01.800.123.0162

Netherlands
0800.0200.385

New Zealand
0800.738.837

Nicaragua
001.800.044.0075

Norway
800.31.851

Panama
001.800.898.4679

Peru
0800.51.828

Portugal
800.206.953

Philippines
1800.1855.0002

Singapore
1800.776.7188

Spain
900.81.1027

Sweden
020.87.87.87

Switzerland
 French 0800.00.1509
 German 0800.00.1535
 Italian 0800.00.1529

UK
0800.44.2000

Uruguay
000.411.009.3079

US
1800.738.8377

Venezuela
0800.100.4242