THOMSON REUTERS

WORLD-CHECK ONE

SERVICE DESCRIPTION

VERSION 1.0

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1 Introduction

1.1 About This Document

The World-Check One Service Description describes the implementation, support, and hosting service for Thomson Reuters World-Check One application.

This document is intended for clients and prospects of the Word-Check One (including World-Check API) and its associated products. It can be used directly by clients or by Thomson Reuters Go To Market (GTM) staff as a guide in client discussions.

1.2 Your Personal Information

Thomson Reuters is committed to the responsible handling and protection of personal information. We invite you to review our Privacy Statement, which describes how we collect, use, disclose, transfer, and store personal information when needed to provide our services and for our operational and business purposes.

2 Product Overview

This document articulates the experiences and services designed for customers of World-Check One User Interface Application and World-Check Application Programming Interface (API).

2.1 Thomson Reuters World-Check One

Thomson Reuters World-Check One is an essential service, created to support our client's due diligence needs in the fight against crime, bribery, and corruption. World-Check appreciates the data protection and privacy implications of providing this database and has robust data protection processes in place.

World-Check One is designed for single users or larger teams. It supports a highly targeted approach for verification and screening during Know Your Customer (KYC) and supplier onboarding, ongoing monitoring, and re-screening cycles. World-Check One combines World-Check data with functionality that can help accelerate and simplify the Anti-Money Laundering (AML) and Countering the Financing of Terrorism (CFT) compliance process by enabling detailed screening and monitoring of politically exposed persons (PEPs) and heightened individuals and entities.

The World-Check One capabilities include:

- Single Name Screening
- On-going Screening
- Batch Screening
- Zero Footprint Screening
- Case Manager
- Advanced Admin options.

World-Check One allows customers to identify risks associated to the customers they deal with. In practical terms, our products offer screening content and capabilities to fulfill regulatory requirements, which include anti-money laundering, bribery, terrorism etc. Customers will use World-Check One to review people and businesses that they maybe planning to do business with and to assess if these entities are on any sanction lists or are politically exposed people (PEPs).

World-Check One is available as a SaaS (Software as a Service) service that can be accessed over the browser (User Interface) or API. World-Check One application (User Interface) is available in the following languages:

- English
- Chinese
- Japanese
- Spanish
- French
- Russian

2.2 Thomson Reuters World-Check One API

Thomson Reuters World-Check One API enables developers to integrate World-Check One capabilities into customers' existing workflows and internal systems (such as CRMs) to help streamline the processes for on-boarding, KYC and third party due diligence.

The API service is available in English only. The default user interface for admin and screening services are English only.

3 Product Availability and Administration

World-Check One is hosted in Thomson Reuters-owned data centers located in the UK. Thomson Reuters commits to a secure operating environment demonstrated by ongoing certification programs of those data centers.

Thomson Reuters data centers are ISO 9001 and ISO/IEC 27001 certified. The ISO certification covers the provision and management of Thomson Reuters data center services and service delivery management processes, including activities and dependencies associated within the systems and infrastructure supporting Thomson Reuters products and services.

3.1 World-Check One User Interface Application

Thomson Reuters World-Check One application is made available through a Thomson Reuters hosted portal via a secured https connection where clients can login using One Pass credentials to use the available features and functionalities.

3.1.1 Supported Browsers

World-Check One is supported by the latest publicly available versions of Google Chrome, Firefox and Safari (with auto-updates turned on). It supports the latest three versions of Internet Explorer (IE) at any one point in time. World-Check One runs on Apple desktops and on iPad under a browser application.

3.2 World-Check One API

The Thomson Reuters World-Check One API is delivered as a REST/JSON web service, accessible exclusively over HTTPS. An API schema is available via Developer Community that describes all features and data used within the API. This schema is in Swagger 2.0 format (also known as the Open API specification format), so developers integrating with the Thomson Reuters World-Check One API can benefit from the many supporting tools, documentation and resources available within the Swagger/OpenAPI ecosystem. For information and guidance on API implementation, see **Section Professional Services – Implementation and Assistance.**

3.3 Product Versions

The periodicity of releases for World-Check One is monthly and for World-Check API it is quarterly with major upgrades annually. Communications will be made available to clients through Support Portal. World-Check Products are supported up to two major versions in the field.

3.4 Disaster Recovery

Disaster Recovery (DR) plans are approved by senior management through a Thomson Reuters Risk Management Committee and are tested regularly. The World-Check One DR site is a Thomson Reuters-owned warm site. Data is mirrored to the DR site at regular intervals. World-Check One maintains dedicated backups in both primary and secondary (DR) data centers.

3.5 Security Management

3.5.1 General Security

Thomson Reuters global Information Security Risk Management (ISRM) team is responsible for ensuring that all Thomson Reuters applications, platforms, and infrastructures are fully protected, and customer data is safeguarded at all times. This team certifies ongoing and regular audits, as well as security reviews against Thomson Reuters applications, platforms and infrastructures. Team members ensure security posture of both infrastructure and application are improved by delivering security architecture designs, standards and integrations across the entire Thomson Reuters global landscape. The security compliance team performs audit reviews to ensure Thomson Reuters meets industry regulations.

3.5.2 Policies and Standards

Thomson Reuters Information Security Policy is endorsed by the Thomson Reuters Executive Committee and outlines the security principles that apply to people, processes and technology, addressing all aspects of service delivery. These policies and standards are regularly reviewed to take into account evolving technical risks, as well as regulatory changes and customers' needs for information security. They cover:

- Infrastructure security
- Virus protection
- Patch management
- Incident response
- Device lockdown
- System monitoring
- Vulnerability scanning
- Risk management and business assurance
- Privacy and regulatory compliance
- Physical security
- Business continuity and disaster recovery

Thomson Reuters takes data security very seriously. For more information about World-Check One Information and Security Policy, see the attached *World-Check One Information Security & Data Privacy* document.



S030643_final.pdf

3.6 Data Retention

World-Check One Risk product hosted by Thomson Reuters will retain data for 7 years in the event of a legal hold imposed on the client. Please contact your account manager if you require further information. The Retention Policy for client records stored in the Thomson Reuters World-Check One Service is as follows:

- Minimum retention period of 7 years or after expiry of the Client's subscription to the World-Check One Service (after which records may be deleted by Thomson Reuters).
- Maximum retention period of 20 years (after which records must be deleted by Thomson Reuters).

3.7 Communication

3.7.1 Planned Maintenance

Planned Maintenance may take the form of annual calendar communications, notifications placed on the Service's welcome/landing page, emails sent to Users or scheduled following a Client request. Where possible, maintenance activities will be scheduled to be performed after hours or on weekends. In emergency situations (e.g. a client's data is at risk) Thomson Reuters will communicate in advance for any planned maintenance. For the World-Check One API, notifications will be sent to users by email and to Developers by the developer community. For the World-Check One user interface notifications will be sent via email.

3.7.2 Unplanned Outage

An unplanned outage is communicated to clients via email.

3.7.3 External Communications

External communications for new features, product maintenance schedules are sent out periodically.

- For World-Check One Application, notifications are sent via email.
- For World-Check One API, notifications and alerts are sent via Developer Community.
- For Developers, notifications are sent via Developer Community.

3.7.4 Documentation

Documentation (training and user guide) updates are available in the Help section of World-Check One application. The API documentation (schema structure and FAQs) is available via Developer Community portal.

4 Product Performance

4.1 World-Check One Service Availability

World-Check One aims to provide uninterrupted access to the services configured for the clients. The Thomson Reuters World-Check One platform is built with high levels of resilience, reliability, performance and availability. This includes a targeted 24x7 service level. Changes and releases are deployed to minimize downtime providing:

- No single points of failure
- Load balancing
- Redundancy
- Monitoring
- Diagnostics

Thomson Reuters hosting service availability target is 99.5% measured monthly. Planned Maintenance downtime is not included in any calculation of availability. Thomson Reuters will make reasonable efforts to notify the Client at least 3 weeks in advance of any planned maintenance.

5 Professional Services – Implementation and Assistance

5.1 World-Check One User Interface

The Professional Services team provides an implementation and configuration service for larger clients (with 50+ users) and this service is included in the product / service fees. For more information, please contact your sales representative.

For help, support and training, see **Section 5 Customer Support** .

5.2 World-Check One API

Thomson Reuters World-Check One API provides Professional Services assistance for clients who are integrating the screening capabilities into their existing workflows and internal systems.

The Professional Services team provides support during the client's development phase and after the client goes live. There is no extra cost for the Professional Services support which is included in the subscription fee.

The Professional Services team validates the client's development work at the end of the integration phase. However, they are not operationally responsible for any client specific code or client development work. The validation work is typically governed by the Integration Specification Document and contractual agreements. The assistance is provided via the Q&A area of the Developer Community portal. For more information about World-Check One API Professional Services assistance, please contact your account representative.

6 Customer Support

6.1 World-Check One User Interface

Currently, support is available in English. Language support for Japanese, Chinese, Spanish and Portuguese (LATAM only) and Russia is also provided during their respective business hours.

Support for World-Check One addresses and manages a wide range of customer questions. Customer issues for World-Check One will vary from simple login issues and navigation questions that need to be resolved quickly, to complex development issues and enhancements. Support also manages customer content and other general queries.

1st line support is provided electronically via emails starting from Monday 08:30 NZST (Sunday 20:30 GMT) finishing Friday 18:30 EST (Friday 23:30 GMT).

6.1.1 Roles

1st level Support: Entry point is provided electronically via email, however starting in Q1, customers can contact MyTR for all support queries. 1st level Support reviews tickets, clarify information and resolve where possible.

2nd level Support: Provide in depth product and technical expertise.

3rd level Support: Provide development level support for complex client issues, including managing bugs and enhancements.

6.1.2 Support Scope

Support includes:

- Incident resolution
- Basic training questions, “How do I” on product features
- Functionality enquiries
- Error message resolution
- Enhancement requests
- Product Training
- User ID and password inquiries
- Application accessibility
- Product functionality
- Client methodology.

Support does not include:

- Misuse, incorrect use of, or damage to the products
- Failure to maintain the necessary environmental conditions for use of the products
- Use of the products and services in combination with any equipment or products not supported, or any fault in any such equipment or products.

6.1.3 Hours of Customer Support Service

The working week is defined as starting Monday 08:30 NZST (Sunday 20:30 GMT) finishing Friday 17:30 EST (Friday 22:30 GMT).

Priority Response Targets

#	Definition	Acknowledgement	Resolution Approach	Customer Communication
1	A priority one (1) incident is a catastrophic event affecting the production environment which renders the application inoperable and in which all or multiple end users are simultaneously experiencing the same failure; where no procedural work around exists. A system outage or a degradation of such severity that the software is unusable. Priority 1 applies to production systems only.	Within 4 hours during the working week *	Anticipated plan of action in 4 hours after case acknowledged. Targeted resolution plan: 24 hours after case acknowledged Continuous work towards resolution	At minimum of daily as required. The plan of action may include a short term workaround and long term fix as necessary.
2	A priority two (2) issue is a problem wherein the application is functioning but in a severely reduced capacity affecting multiple end users simultaneously, but where a temporary workaround is available. A workgroup is unable to use the software, or the performance is significantly diminished, but portions of the software remain usable. A priority 2 could also result from a non- production or non-critical system outage.	Within 4 hours during the working week *	Plan of action in 24 hours after case acknowledged. Targeted resolution plan: 48 hours after case acknowledged.	Daily until an agreed action and resolution plan is in place during normal business hours. The plan of action may include a short term workaround and long term fix as necessary.
3	A priority three (3) issue is a low impact problem which involves partial non-critical functionality loss. One which impairs some operations but allows Client to continue to function. This may be a minor issue with limited loss or no loss of functionality or impact to Client's operation. There is a reasonable workaround or avoidance process available to the system administrator or user. You cannot use a particular piece of functionality as designed. However, there is an available workaround rendering the issue more of an inconvenience than degradation to the system.	Within 4 hours during the working week *	Plan of action in 48 hours after case acknowledged. Targeted resolution plan: 15 days after case acknowledged.	Daily until an agreed action and resolution plan is in place during normal business hours. The plan of action may include a short term workaround and long term fix as necessary.
4	A priority four (4) is an administrative request; general usage questions or recommendations for a future product enhancement. An administrative request; general usage questions or recommendations for a future product enhancement.	Within 4 hours during the working week.*	Plan of action in 5 days after case acknowledged. Targeted resolution plan: 30 days after case acknowledged.	As appropriate.

*The working week is defined as starting Monday 08:30 NZST (Sunday 20:30 GMT) finishing Friday 17:30 EST (Friday 22:30 GMT).

6.1.4 Technology Support

Thomson Reuters monitors the application and underlying infrastructure using automated monitoring tools. Support is available 24x7 to respond to alerts raised automatically by the monitoring tools and a team is always available to react to those alerts that indicate anomalies in the system.

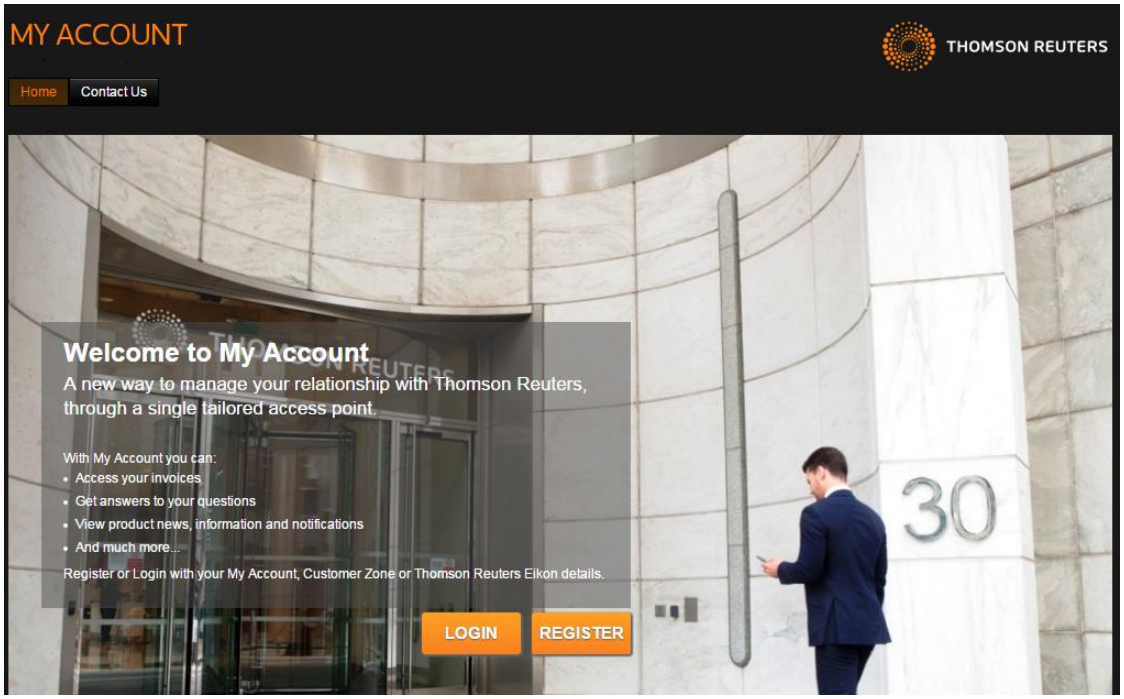
7 Training

Thomson Reuters Financial & Risk solutions provide training solutions for Financial & Risk Professionals via http://training.thomsonreuters.com. Scheduled online training sessions are available for all users, including Administrators. There is no additional cost for this training to clients. Clients can also find eLearning videos in the Help section of World-Check One.

8 Contact Information

For World-Check One API, customers can post their queries on the Developer Community.

My TR (coming in 2018) is a Thomson Reuters portal that provides a single access point for timesaving support services, along with billing, user management, and product information and documentation.



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