Asset Control Customer Support Charter 1.5

As the world's leading provider of supremely reliable, high performance financial data management systems, it is our objective to deliver world class support.

This charter is designed to ensure you our client have a complete understanding of the services Asset Control provides. The charter sets out our commitments to you and explains the level of response you should expect from us. It describes how our support team works and how you can work with us to get the most out of our services. The charter is our framework for excellence.

The Asset Control Global Support Team

Asset Support Centres

Our Services

Version Number	Date	Edits
1.1	17th October 2015	Document Creation
1.2	10th June 2016	Content update
1.3	1st May 2017	Support Names Updates and locations
1.4	16th April 2018	Content updated
1.5	20th April 2020	Update Escalation Paths

Customer Support Centre

The Customer Support Centre is the initial point of contact for general questions about our software, requests for information or changes (new product features /enhancements requests), and the reporting of incidents encountered with our software.

Single Point of Contact - SPoC

Asset Control operates a single point of contact (SPoC) policy at its Customer Support Centres. This means that wherever possible –one of our dedicated Customer Support Engineers will deal with your query right through to completion[1], avoiding the unnecessary transfer of information between different support staff.

Qualified Support Staff

Our Customer Support Engineers have all undergone extensive training in the use of our products and user experience. We realise, however, that some problems are particularly complex, and therefore our Customer Support Engineers also have direct access to our most experienced Senior Consultants and Software Developers to help them with more involved issues.

Call Tracking System

All contact with the Customer Support Centre is logged and tracked in our dedicated ticketing and incident management system. This enables all information and communication relating to your query to be kept in the same place, along with the current status[1] of the query and ultimately the query resolution. If at any point you need to know the status of a query, you can log into the [Customer Support Web Portal](http://helpdesk.asset-control.com)[2], or contact the [Customer Support Centre](http://helpdesk.asset-control.com) who will be able to access all of the available information and provide you with an update.

Out of Scope Services

We strive to meet the expectations of our clients every time, and the Customer Support Centre meet the obligations of all our support agreements. Asset Control is unable to support Custom Code which has been implemented onsite on or after implementation. The support team will make every commercially reasonable attempt to resolve support issues raised by a customer with or without custom code, but those support issues raised by a customer with custom code will be addressed at the sole discretion of the support team.

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[1] For call categorisation; please refer to the 'Different Support Request Types' section of this charter.

[2] Customer Support Web Portal – http://helpdesk.asset-control.com

For product training, template building, custom coding/scripts, implementations, upgrade assistance and other services that are best delivered in person, the support desk will refer you to our Product Training and Professional Services teams.

[1]In the case of Critical and High priority items, calls may be transferred between Support Analysts to ensure they are completed in the shortest possible time.

The Products and Interfaces We Support are provided on all current Asset Control products and interfaces, on the basis that these products are used on supported platform versions. The compatibility matrix of all products and interfaces can be found on our portal[5] for product and documentation downloads.

Product Life Cycle
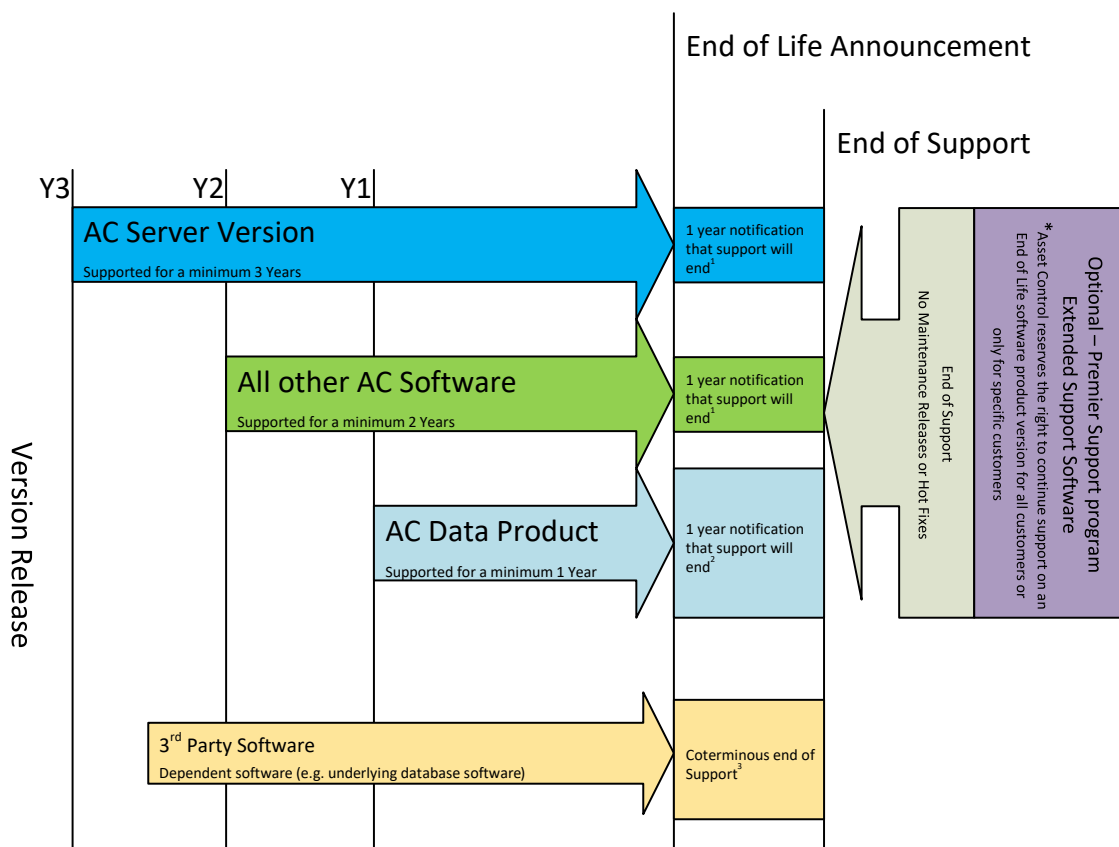
[1] End of Life will only be announced once a newer GA version has be available for 1 year

[2]Asset Control will concurrently support at least 1 release of a given data product with respect to fixing defects. The latest release for a data product equals the combination of the most recent vendor interface and normalization mappings - assuming that no data vendor changes or industry forced changes occur which makes support of a version impossible.

[3] When 3rd party vendors announce End of Life for   product, Asset Control will terminate support of any of its software components used in combination with that 3rd party vendor's software in the 3rd Parties End of Life time frame.

Full details of the Asset Control Product Release Policy and Product Life Cycle policy can be found on our User Portal.

Non-Asset Control Products

In addition to our own products, the Customer Support Centre provides answers and advice on the use of the following applications, in relation to their use with Asset Control products:

• Oracle

• Microsoft Excel

Please note that if a problem reported with these products is beyond our control, not related to the use of Asset Control products, or requires more specialised product knowledge or code/SQL to be written, you will be requested to contact the supplier's own support services.

[5]Customer Portal – https://services.asset-control.com/userweb

How to Contact Us

Asset Control currently accepts Customer Support Centre contact via the web, telephone and email.

We also have the facility to communicate with you via our Web Conference remote connection service if required (Citrix GoToMeeting) or Microsoft Teams

To initiate a Web Conference session with Asset Control you should first contact the Customer Support Centre via phone or email.

North America: +1 877 898 1257 (toll free)

Americas: +1 646 673 8888 (toll)

Europe: +800 8989 1000 (toll free)

EMEA & APAC: +31 512 389 157 (toll)

Email: helpdesk@Asset-Control.com

Web Portal: http://helpdesk.Asset-Control.com

The Customer Support Centre is operational 24 hours a day, Monday to Friday.

During weekends and global Public holidays, the Customer Support Centre is on Standby. Support during these hours is offered for Priority 1 incidents. You are required to raise a ticket via email or the portal, describing the incident and its urgency, followed up with a phone call to the above-mentioned phone numbers as our ticketing system is not actively monitored during standby hours.

Different Support Request Types

All calls to the Customer Support Centre are logged and categorised as below:

Request Type	Example/Definition
Incident	"It isn't working correctly (the way it normally works" or "I can no longer do … anymore"
Request for Change	"It would be nice if…"or "We need the product to be able to do the followings (a feature that is not presently available)
Request for Information	"I would like some information on…" (not directly related to Asset Control product functionality)
Request for Service:	
Account Request	"I would like access to… "
Licence Request	"I need a new licence for…"
Change Support	"I want to make a change to our system and have a question/problem…" or "the business has asked that we now have the Asset Control product cover the following....market/instruments/calculation"

What We Need From You

To ensure we can deal with your call in the shortest possible time, you will need to provide the following information when contacting the Customer Support Centre.

Minimum information regarding your request

Basic Details

- Your name, telephone number and email address (in case of Priority 1 incident, include contact details for out of office hours)
- Company and site location
- A full Description of the request, including confirmation of the business impact and urgency

Hardware and Software Environment Details (For 'Incidents', or when applicable)[3]

- Platform and hardware specifications
- Operating system version
- Database type and version
- Microsoft Office version (when AC COM-related)
- Asset Control product/interface versions (Always at least AC Server version + applicable product/interface version)
- Environment name/purpose (Production, Test, Development, etc.)

Any Files/Data Required to Reproduce the Incident, e.g.

- A description of any changes made prior to the incident occurring
- Any relevant log files and a mention of time/date of the incident occurring
- Screenshots related to the incident
- Any relevant custom code
- A description of steps taken leading to the incident

Your full support on reproducing the Incident

To find the cause of an incident it is usually essential to be able to reproduce the incident in a controlled way, and to allow for logging to be increased to "debugging" mode when done so.

Being able to reproduce the incident is often dependent on having the same environmental variables as the environment where the incident occurred.

Since Asset Control is not aware or in control of the changes you may implement in your environments, we can never be certain we have the required environmental settings to reproduce your incident in our own environment.

We recommend, therefore, that you have a (virtual) environment available at all times, that is kept similar to your Production environment – in terms of OS, Database and Asset Control Product and Interfaces versions. We ask you to grant us permission to access this environment remotely, or at least to look at this environment via a web conference together with you.

If you require additional licences to make such an environment available, we will be happy to provide these free of charge.

Having these facilities available will allow your Asset Control Support Centre to provide a fast Resolution time for your reported Incident.

Priority Levels and Escalation

The priority of an incident is determined by the effect it has on your ability to use the software.

In order to ensure fair treatment of all our customers, we rely on you to make a reasonable assessment of the effect and urgency of an incident and we will work on incidents according to the information you provide. However, we will always give priority to production systems.

By default, all requests will be dealt with as Medium priority, level 3.

When impact and urgency have been described, the incidents will be classified according to the descriptions below.

Incidents in a Production Environment

Priority Level	Example
Priority 1 (Critical)	AC Product or critical function is not working anymore
Priority 2 (High)	AC function is not working properly anymore, is causing a delay in data delivery or extra work to get data delivered in time
Priority 3 (Medium)	AC function not working properly anymore but no impact on timely and correct delivery of data

Incidents in a Non-Production Environment

Priority Level	Example
Priority 2 (High)	AC Product or critical function is not working anymore or is not performing as expected and a known Project Delivery date is in jeopardy (Asset Control was made aware of this delivery date at least 2 weeks in advance)
Priority 3 (Medium)	AC Product or critical function is not working properly anymore and will put an unknown Project Delivery date in jeopardy (Asset Control was not made aware of the project and its delivery date)
Priority 4 (Low)	No Project Delivery date is in jeopardy

Target Response and Resolution Times

Our Customer Support Engineers aim to resolve all requests as quickly as possible, but will prioritise calls based on both priority level and the amount of time a call has been outstanding.

For each call type and priority, we have a defined target response and resolution time. These are listed below.

Support Item Type	Target Response	Target Resolution Time (days)
Incident – Priority 1	Immediate (after receiving phone call)	24 hours
Incident – Priority 2	2 business hours	2 business days
Incident – Priority 3	1 business day	2 weeks
Incident – Priority 4	1 business day	1 month
Request for Change	1 business day / 1 month[4]	within 6 months
Request for Service: **Licence Request** **Account Request** **Change Support**	1 business day 1 business day 1 business day	2 business days 2 business days Best effort[5]
Request for Information	1 business day	2 business days

Response time

We define a Response as written confirmation from a Customer Support Engineer stating that your request has been received and understood, possibly asking for additional information.

In addition to this "human" response, each request raised via email or the portal will receive an immediate automated email reply with a ticket number. This answer is not qualified as a Response. When you do not receive this automated reply within 10 minutes, please contact us via telephone.

Resolution time

Every effort will be made to complete support items within the target resolution times.

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[4] An initial Response to a Request for Change is given within 1 day. You will receive confirmation whether or not your change request will be included in the current or next Roadmap cycle within 1 month. Delivery of that change can then be expected within the communicated Release Number within that Roadmap cycle.

[5] If during the Best Effort Change Support it is concluded that an incident with the Asset Control Products or Interfaces is blocking the implementation of the change, the resolution times of the Incident priorities applies.

Escalation

To ensure our targets are met, escalation points are automatically built into our process to alert increasingly senior levels of Asset Control management as resolution times approach their target.

The escalation process is an automated process once a support item has been accepted into the support system and issued a ticket. The diagrams below show the escalation process.

Escalation Point	Incident Priority 1	Incident Priority 2	Incident Priority 3	Incident Priority 4	Request for Change	Request for Service Licence Request	Request for Service Change Support	Request for Service Account Request	Request for Information
Regional Head of Support	1h	1D	2D	4D		1D	1D	2D	2D
Account Manager	2H	3D	4D	8D	5D	3D	2D	2D	2D
Head of Operations / Managing Director	3h	3D	4D	8D		3D	36h	6D	6D
Resolution SLA	24 hours	2 Business Days	10 Business Days	30 Business Days	TBD	2 Business Days	3 Business Days	3 Business Days	5 Business Days

Legend:
- Escalation 1 (green)
- Escalation 2 (yellow)
- Escalation 3 (red)

When a support item is escalated, you and your colleagues will receive an automatic message informing of the escalation.

In addition to this escalation process, you may also contact the Global Support Manager directly at any time to escalate items that are not being dealt with to your satisfaction. If you have continued dissatisfaction with the support you are receiving, you should contact your Sales Account Manager.

Call Closure

When we have delivered a solution for your request, we will ask you to confirm that we can close it. Closure of tickets must be confirmed by you, via the customer support portal. You will be asked to complete a customer feedback questionnaire as a part of the ticket closure process.

If we do not receive a response to this request, after 7 days, our system will send you a reminder email to ask you to close the ticket. After 14 days or 3 attempts to contact you have passed our Support Engineers will automatically close tickets that have been resolved.

Within the Asset Control Support portal you are able to view the complete history of all tickets raised by your company, including those that have been closed.

Complaints & Survey Feedback

If at any point you wish to make a complaint about Asset Control products or services, please contact the head of operations. We will make sure that your comments are dealt with as quickly and efficiently as possible. Likewise, if you have received particularly good service from Asset Control, and would like to acknowledge this, please do let us know! This can also be done by completing the survey link give to you once a support ticket has been closed. A rating of 1 to 5 can be provided regarding our performance and we encourage you to complete these after support issues have been completed. Feedback is collated and passed to senior management to ensure we improve our service to you.

Online Resources

In addition to our standard telephone and email support services, Asset Control has an extensive customer website available to all registered users.

This portal contains a number of additional support resources to enable users to answer their support queries more quickly.

Ticket Tracking

View, Log and Update Customer Support Centre Tickets directly on the web using the Customer Support Web Portal: https://portal.asset-control.com

Product and Documentation Downloads

Many problems can be avoided or resolved by upgrading to the latest product version or Maintenance release.

To make this as easy as possible, the latest versions of all our products, along with the relevant release notes and installation instructions, are available for download from the website: http://services.asset-control.com

Who to Contact - Quick Reference

Contacts & Escalation Points

Customer Support Centre North America	helpdesk@asset-control.com	+1 877 898 1257 (toll free) +1 646 673 8888 (toll)
Customer Support Centre Latin America	helpdesk@asset-control.com	+1 646 673 8888 (toll)
Customer Support Centre Europe, Middle East & Africa	helpdesk@asset-control.com	+31 512 389 157 (toll)
Customer Support Centre Asia & Pacific	helpdesk@asset-control.com	+31 512 389 157 (toll)
Head of Americas Customer Support	Nilo Salud lsalud@asset-control.com	+1 646 673 8888 (toll)
Head of EMEA & APAC customer support	Puneet Sharma psharma@asset-control.com	+447077430347 (toll) +44 2077 430 347
Head Of Operations	Simon Rayfield Srayfield@asset-control.com	+447716800010 (toll) +44 2077 430 336

Appendix A.   Priority 1 ticket – Customer Escalation Process

```
┌─────────────────────┐      ╭──────────────────────╮
│ Priority 1 ticket is│      │   Calling hotline is │
│ raised and have      │      │ mandatory to ensure  │
│ called the priority  │      │  AC is aware of the  │
│    1 hotline         │      │        issue         │
└─────────────────────┘      ╰──────────────────────╯
          │
          ▼
     ◇ Contact is ◇ ──No──►  ┌──────────────────────┐
     ◇ established ◇         │ Follow the escalation│
     ◇ with AC   ◇          │ line until contact   │
          │                 │ with AC is established│
         Yes                └──────────────────────┘
          │
          ▼
┌─────────────────────┐
│ Support Engineer    │
│ analyzes the issue  │
│ and involve         │
│ Engineering if      │
│ needed to resolve   │
│ the issue           │
└─────────────────────┘
          │
          ▼
   ◇ Satisfied with ◇ ──No──►  ┌──────────────────────┐
   ◇ the regular    ◇          │ Follow the escalation│
   ◇ updates of the ◇          │ line to get a clear  │
   ◇ resolution plan◇          │ picture              │
          │                    └──────────────────────┘
         Yes
          │
          ▼
┌─────────────────────┐
│ Workaround or a fix │
│ has been provided   │
└─────────────────────┘
          │
          ▼
   ◇ Satisfied with ◇ ──No──►  ┌──────────────────────┐
   ◇ the workaround  ◇         │ Follow the escalation│
          │                    │ line to get resolution│
         Yes                   └──────────────────────┘
          │
          ▼
     ╭──────────╮
     │ Issue is │
     │ resolved │
     ╰──────────╯
```

Escalation Line

```
┌─────────────────────┐
│ Call the hotline    │
└─────────────────────┘
          │
          ▼
     ◇ Escalate? ◇
          │
         Yes
          │
          ▼
┌─────────────────────┐
│ Call the Regional   │
│ Head of Support     │
└─────────────────────┘
          │
          ▼
     ◇ Escalate? ◇
          │
         Yes
          │
          ▼
┌─────────────────────┐
│ Call the Account    │
│ Manager             │
└─────────────────────┘
          │
          ▼
     ◇ Escalate? ◇
          │
         Yes
          │
          ▼
┌─────────────────────┐
│ Call the Managing   │
│ Director / Head     │
│ of Operations       │
└─────────────────────┘
```