Matrix42 Cloud Services

Service Description

MATRIX42

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1 General

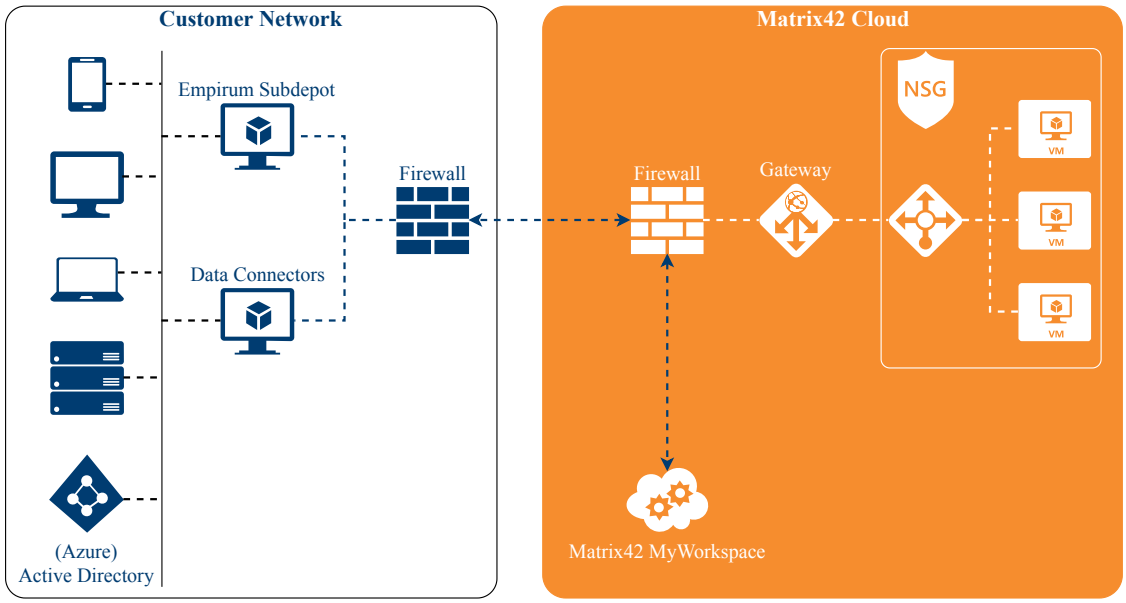
1.1 Provisioning from the Matrix42 cloud

Matrix42 supports organizations in digitalizing their employees' work environments. Our digital workspace experience software manages devices, applications, and processes in a simple, secure, and compliant manner. This innovative software seamlessly integrates physical, virtual, mobile, and cloud-based work environments into existing infrastructures.

The Matrix42 products Software Asset & Service Management, Unified Endpoint Management, consisting of Empirum and Silverback, and EgoSecure, are offered as managed hosting. Matrix42 differentiates between cloud solutions and conventional local installations in terms of provisioning and, to some extent, functionality, even when the product basis is the same.

Managed hosting comprises the production system, and does not include test or development systems as standard. Please contact us if you are interested in these options.

1.2 Architecture



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2 Task Profile

In general, we differentiate between you as a customer, Matrix42 Support, and Matrix42 Cloud Operations. Together, Matrix42 Support and Matrix42 Cloud Operations guarantee the stable operation of the system and application.

2.1 Matrix42 Support – task profile

Matrix42 Support, in coordination with the appointed, authorized support contact at Matrix42 AG, is your primary contact for all disruptions when using the application. Requests are received as tickets (incident reports). The processing of the request is monitored and communication with the customer is maintained throughout. Incoming requests are monitored and documented. We publish communication between Matrix42 Support and the customer on the Self-Service Portal of Matrix42 Support by means of a ticket to make the process as transparent as possible for you as a customer.

2.2 Matrix42 Cloud Operations – task profile

Matrix42 Cloud Operations guarantees system operation, system maintenance, and compliance with IT standards. The necessary licenses required for Matrix42 server components as well as Matrix42 solutions, such as the operating system and databases, will only be provided for the agreed contractual term.

Configurations or adaptations within the customer's respective Matrix42 solution do not fall under the scope of the Matrix42 Cloud Operations team. Matrix42 Customer Service can attend to requirements of this nature.

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3 Data Centers and Data Protection

3.1 Data centers

The solution is provided to you in the form of dedicated server installations from our leased Microsoft Azure data centers in the regions of North America, Europe, and Australia. Further regions are available on request. We offer hosting at data centers in Switzerland, which are operated by Equinix and Interxion, to Swiss customers.

The data centers are arranged in pairs within the regions so that all customer production data is stored in both data centers, and promptly synchronized from the primary to the secondary data center for disaster recovery.

Data center pairs:

Region	Primary data center	Secondary data center
Europe	Western Europe	Northern Europe
	Central Germany	Northeast Germany
	Northern Switzerland	Northern Switzerland 2
North America	Eastern U.S.	Central U.S.
Australia	Eastern Australia	Southeast Australia

3.2 Data protection

The data centers all have different certificates in the areas of data protection and security. These include a variety of international and sector-specific compliance standards, such as the General Data Protection Regulation (GDPR), ISO/IEC 27001, HIPAA, FedRAMP, SOC 1, and SOC 2 as well as country-specific standards such as the Australian IRAP. All network traffic is also transferred exclusively in encrypted form.

Matrix42 has supported the requirements of the EU General Data Protection Regulation (GDPR) since May 2018. You can submit queries regarding this topic to GDPR@matrix42.com.

If you cancel your Matrix42 Cloud subscription with us, all data from your Matrix42 Cloud Services will be irrevocably deleted after 30 days.

Selection of certifications:

Region	Data centers
ISO 9001	All
ISO/IEC 20000-1	All
ISO 22301	All
ISO/IEC 27001	All
ISO/IEC 27017	All
ISO/IEC 27018	All
IT Baseline Protection (BSI IT-Grundschutz)	Germany
C5 Catalogue (BSI)	Germany
General Data Protection Regulation (GDPR)	Europe

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Region	Data centers
FINMA-compliant	Switzerland
SOC 1 Type II	All
SOC 2 Type II	All
SOC 3	All
FACT	All

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4 Security and Recovery

4.1 Security

The security of our applications is regularly tested by renowned external companies. Routine external penetration tests of the solution in line with the 'OWASP Top Ten' risks form the basis of these tests. If you, the customer, carry out your own penetration tests, this must be communicated via Matrix42 Support 30 days in advance. This is to clearly assign warnings for our monitoring solutions. As a company, we are also interested in the results of penetration tests, as they help us to continuously improve Matrix42 Cloud Services for you as a customer, and make them more secure.

Matrix42 Cloud Operations also safeguards the installation and maintenance of systems within the planned maintenance windows. This also occurs outside of the planned maintenance windows for important or critical security updates.

Browser-based access to your Matrix42 Cloud Service is encrypted via Transport Layer Security (TLS). The cipher suites used may vary depending on the browser used and may be influenced by your Internet proxy or other systems within the company. All connections to your Matrix42 Cloud Service are also redirected from HTTP to HTTPS. All necessary SSL certificates are provided by Matrix42.

4.2 Security and recovery

Our systems are backed up every day, and data is stored for seven days in both the primary and secondary data center. In the case of disaster recovery, a total restoration of your environment will occur at the primary data center within eight hours, or at the secondary data center within 12 hours. However, partial restorations of data are unfortunately not possible. The procedure for backing up and restoring is regularly reviewed.

The following periods are planned at primary and secondary data centers in the case of disaster recovery:

Object	Backup frequency	Retention periods	Restoration times Primary data center	Restoration times Secondary data center
Operating system	daily	7 days	2–4 hours	8–12 hours
Application	daily	7 days	2–4 hours	8–12 hours
Database	daily full backup	7 days	4–6 hours	8–12 hours

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4.3 SLA – Availability of Matrix42 Cloud Services

The SLA calculation is based on the availability and accessibility of the defined landing page of Matrix42 Cloud Services and amounts to 99.5 percent per month. Malfunctions within the application, as well as maintenance windows, are not factored into the SLA calculation.

› The service availability for one month (30 days) is as follows:

Monthly Uptime Percentage	Monthly downtime in hours
99.5%	3.6 hours

› On request, the following reimbursement of the monthly hosting fee is granted in the event of non-compliance with the SLA

Monthly availability in percent	Service credit in percent
< 99.5%	10%
< 99%	25%
< 95%	100%

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5 Operation

5.1 Monitoring

Important application parameters are routinely monitored within the context of system monitoring by Matrix42. To this end, all important infrastructure parameters are routinely monitored and recorded by Matrix42, as well as our data center operators.

5.2 Maintenance and update – managed hosting

As a customer, you will automatically receive the latest software version approved for the Matrix42 cloud for Matrix42 Silverback and EgoSecure. The update will be announced by Matrix42 with at least two weeks' notice, and includes the option to postpone or suspend the update. The option to request an update to the latest approved software version for Matrix42 Cloud via Matrix42 Support exists for all other products. If security-related problems exist in the software version used, then the update to a newer version is necessary for problem resolution and cannot be suspended. This takes place in coordination with you as a customer. Software versions used may not be older than one year after the date of publication, as otherwise, support for the version will lapse. Long Term Support Branch (LTSB) versions are considered an exception in this regard. The update contains components in the Matrix42 Cloud only, and not on-premise.

The respective support contract service times apply to updates that are installed on the customer's request. Additional costs may accrue for updates outside of service hours.

Matrix42 Cloud customers with an active premium support contract are free to use an LTSB version. However, this must be requested before the provisioning of the service. You can find more information on this topic in the Product Usage Guidline.

Participation in a controlled rollout program is not planned for Matrix42 Cloud customers.

5.3 Maintenance windows

The maintenance windows of Matrix42 Cloud occur on a weekly basis each Sunday from 12 a.m. to 8 a.m. in the local time of the data center. Matrix42 reserves the right in exceptional circumstances to implement maintenance windows at other times for the purpose of resolving faults or security incidents.

5.4 Performance

Performance is defined as the time in seconds between an entry and a response. Network-related influences cannot be ruled out. The measurement is carried out by means of automatic monitoring by third-party systems.

In a normal performance evaluation, the daily average for accessing the system's homepage should be no longer than four seconds.

5.5 Adaptations

All customer-specific adaptations (customizations), configurations, reports, and more, that are tied to a specific release version and are not automatically update-proof are not available for Matrix42 Cloud Services. Articles from the Matrix42 Marketplace are considered an exception in this regard.

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5.6 EgoSecure Secure Audit, IntellAct Automation und Insight Analysis

The information collected by EgoSecure Secure Audit, IntellAct Automation and Insight Analysis is held in the cloud for 30 days and then exported. The export is maintained for further 60 days and can be requested for download via Matrix42 Support. After 60 days, the information is irrevocably deleted.

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6 Support and Support Process

If a technical fault of Matrix42 Cloud Services which cannot be resolved independently by the Matrix42 Cloud Operations team is detected, the customer must submit an incident report to Matrix42 Support.

6.1 Accessibility

- E-mail: helpdesk@matrix42.com
- Tel.: (+49-69) 66773-8222
- Website: https://support.matrix42.de/

6.2 Matrix42 Support service times

- Standard support: Monday to Friday, 8:30 a.m. to 5 p.m.
- Advanced support: Monday to Friday, 7 a.m. to 8 p.m.
- Premium support: Monday to Friday, 7 a.m. to 8 p.m. – 24/7 for Severity 1 (see section 6.7).

6.3 Response times

The response time is the time between submission of the incident report and a qualified response from an employee of Matrix42 Support. As a customer, you will receive a response to your incident report within two hours during the service hours outlined under section 6.2.

6.4 Processing time

The processing time during which the incident report is processed by Matrix42 depends on the service times and the customer's respective support contract. In the event of necessary queries to the customer that prevent further processing of the request (extensive information for the purpose of analysis), the processing time is paused until the required information is fully and comprehensively provided to Matrix42 Support by the customer.

6.5 Contact

The customer shall nominate as contact persons for Matrix42 employees who have sufficient technical qualifications. Matrix42 shall only be obligated to provide maintenance and support services through the contact persons named by the customer. The customer shall thus ensure that changes in the contact persons are notified to Matrix42 in good time.

6.6 Support levels

Levels	Task
1st Level Support	Receives and documents the support query. Pre-screening of questions and potential initial approaches.
2nd Level Support	Takes on more complex requests from 1st Level Support, and consults the customer for a rapid solution where necessary.
3rd Level Support	Consists of specialists in the department and external service providers.

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6.7 Severity level

Level	Description
Severity 1	A Severity 1 problem exists if there is a critical restriction of the customer's business processes. › Failure of the customer's entire Matrix42 Cloud Service. › Failure of a 'mission critical' application due to a bug in the Matrix42 Cloud Service. › Data integrity is compromised. › Restoration of the Matrix42 Service by means of a backup or disaster recovery is not possible. › Not possible to supply a workaround. It is likely that input from development will be needed in order to resolve the issue.
Severity 2	A Severity 2 problem exists if there is a severe restriction of the customer's business processes. › Severe disruption to the customer's entire Matrix42 Cloud Service. › Severe disruption to a 'mission critical' application caused by a bug in the Matrix42 Cloud Service. › It is not possible to implement a supplied workaround.
Severity 3	A Severity 3 problem exists if there is a moderate restriction of the customer's business processes. › Moderate restriction of the customer's business processes or the Matrix42 service. › No loss of data; the overall Matrix42 Cloud Service is functional. › Delivery of a workaround by Matrix42 Support.
Severity 4	A Severity 4 problem exists if there is a moderate restriction of the customer's business processes. › General, non-critical questions related to Matrix42 Cloud Service key features. › Questions about best practices. › Questions regarding documentation.

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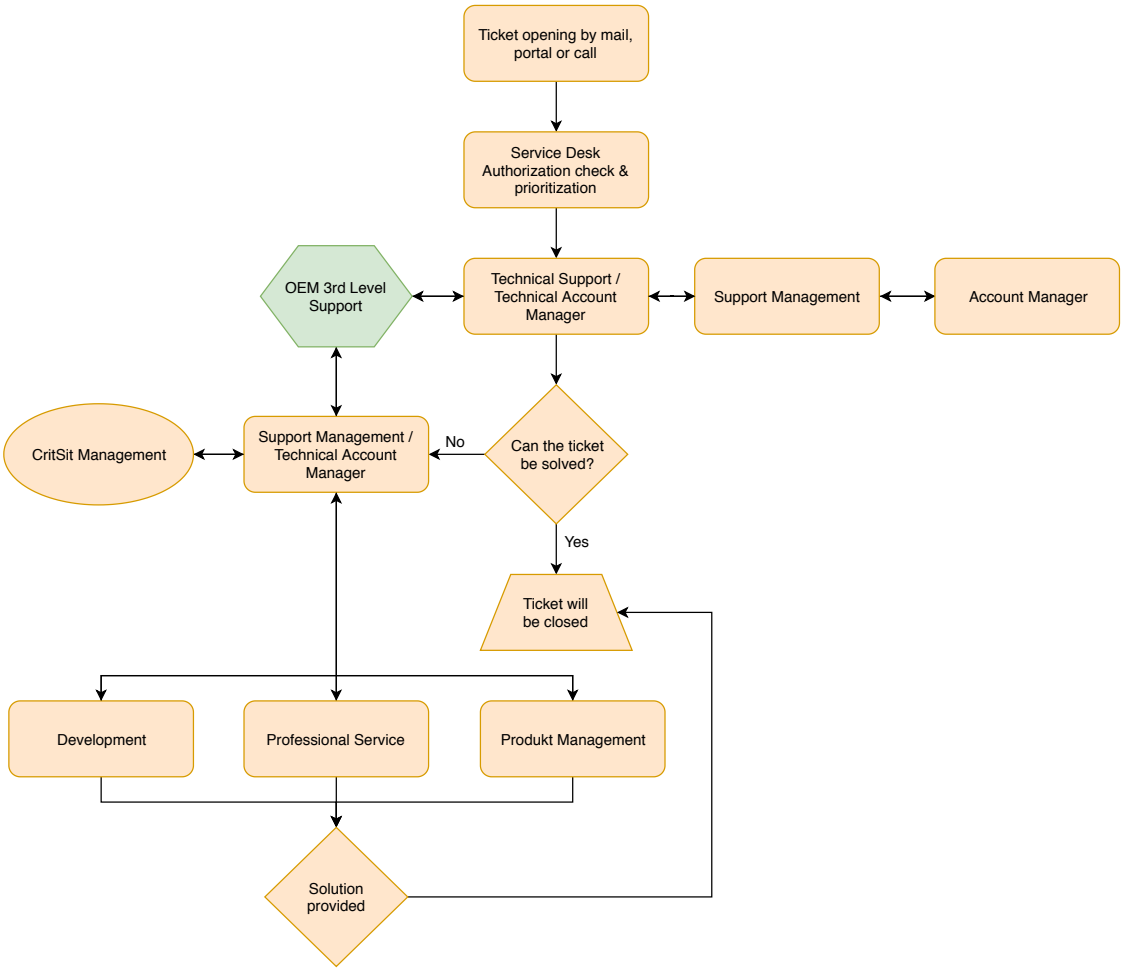
6.8 Support process



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7 Glossary

Term	Description
ISO 9001 **(Quality management)**	This is an international standard that establishes the criteria for a quality management system. The standard is based on several quality management principles. This includes a clear focus on meeting customer requirements, a strong company management and commitment of managers to upholding quality targets, a process-oriented approach to reaching targets, and a focus on continuous improvement. ISO 9001 helps companies to improve customer satisfaction by focusing on the consistency and quality of products and services that they provide to customers.
ISO/IEC 20000-1 **(Service management system requirements)**	This international standard for IT service management defines the requirements for the development, implementation, monitoring, maintenance, and improvement of an IT service management system. Other standards have been subsequently published, including guidelines on using service management systems, as well as guidelines on applying ISO/IEC 20000-1 to cloud services. ISO/IEC 20000-1 indicates that a cloud service provider has implemented the correct IT service management procedures for provisioning efficient and reliable IT services that are regularly monitored, reviewed, and improved.
ISO 22301 **(Societal security – business continuity management systems – requirements)**	This international standard specifies the requirements for planning, setting up, implementing, operating, monitoring, reviewing, supporting, and continually improving a documented continuity management system to prepare it for business interruptions as a preventative measure, to react to said interruptions, or recover from business interruptions as a company.
ISO/IEC 27001 **(Information security management systems – requirements)**	This international standard specifies the requirements for setting up, implementing, maintaining, and continuously improving a documented information security management system while factoring in an organization's context. Furthermore, the standard includes requirements for evaluating and handling information security risks according to the organization's individual needs. All types of organizations (e.g., trading companies, government organizations, non-profit organizations) are factored into this standard. The standard was published as a DIN standard and is part of the ISO/IEC 2700x family.
ISO/IEC 27017	This international standard offers additional cloud-

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Term	Description
(Code of conduct for information security audits based on ISO/IEC 27002 for cloud services)	specific implementation guidelines based on ISO/IEC 27002 and offers additional audits for countering threats and risks to cloud-specific information security. The code of conduct is designed in such a way that it can be used as a reference in selecting information security audits for cloud services if a cloud computing information security management system is implemented based on ISO/IEC 27002. They can also be used by cloud service providers as a guide in implementing generally recognized protection audits.
ISO/IEC 27018 **(Code of conduct for protecting personal data (PII) in public clouds that act as PII processors)**	This international standard lays down requirements stipulated by data law for providers of cloud services and states monitoring mechanisms and directives for implementing measures intended to safeguard the protection of personal data (Personally Identifiable Information – PII) in a cloud environment. The standard factors in requirements stipulated by data protection law that already exist in other areas, and adjusts these specifically to information security risks in cloud computing.
IT Baseline Protection **(BSI IT-Grundschutz)**	The German Federal Office for Information Security (Bundesamt für Sicherheit in der Informationstechnik – BSI) provides the IT-Grundschutz methodology, which consists of an ISO/IEC 27001-compatible information security management system (BSI standard 200-1), IT-Grundschutz methodology (BSI standard 200-2), a special risk analysis method (BSI standard 200-3), and the IT-Grundschutz catalog, a standard set of threats and precautions for conventional business environments. The IT-Grundschutz is also recognized internationally due to its compatibility with ISO/IEC 27001.
C5 Catalogue **(BSI)**	The C5 (Cloud Computing Compliance Controls Catalogue) was developed by the German Federal Office for Information Security (Bundesamt für Sicherheit in der Informationstechnik – BSI) as a testing standard, and describes the minimum security requirements that a cloud service provider has to meet for cloud services that are offered to customers. It is oriented towards cloud service providers, their auditors, and customers of the cloud service provider. The catalog includes 114 requirements in 17 domains. It is based on established standards, including ISO/IEC 27001, Cloud Controls Matrix (CCM), Version 3.01 of the Cloud Security Alliance (CSA), AICPA Trust Services Principles and Criteria 2014, and more. However, C5

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	adds additional transparency audits in order to provide information on the data location, rendering of services, place of jurisdiction, existing certifications, and information requirements vis-à-vis state bodies.
General Data Protection Regulation (GDPR)	The GDPR is a European Union data protection law that entered into force in May 2018. It includes standardized regulations on the processing of personal data by private companies and public bodies throughout the EU. This is intended to ensure the protection of personal data within the European Union, while also guaranteeing free data traffic within the European Single Market.
FINMA-compliant (Swiss Financial Market Supervisory Authority)	As an independent authority on the Swiss finance market, FINMA has sovereign powers over banks, insurance companies, stock exchanges, securities brokers, collective investments, their asset managers and fund management companies, as well as distributors and insurance intermediaries. FINMA is dedicated to protecting creditors, investors, and insurance policy holders, as well as the operation of the financial markets. FINMA defines the risk-based supervisory requirements for outsourcing solutions at banks, security traders, and insurance companies.
SOC 1 Type 2	The American Institute of Certified Public Accountants (AICPA) has three reporting options (frameworks) for Service Organization Controls (SOC 1, SOC 2, and SOC 3) to support CPAs in testing and reporting on service organization audits. SOC 1 Type 2 certification is based on the AICPA regulatory specification SSAE 18 and the International Standard on Assurance Engagements No. 3402 (ISAE 3402). A SOC 1 Type 2 report includes the auditor's statement on the effectiveness of the audit in order to achieve the respective audit objectives during the defined monitoring period.
SOC 2 Type 2	SOC 2 Type 2 is a limited use report and documents the scope and appropriateness of internal audits using standard specifications and corresponding control parameters for security, availability, confidentiality, processing integrity, and data protection. SOC-2 commissions are executed pursuant to the principles and criteria of trustworthy services, as well as the requirements of AICPA standards.
SOC 3	A SOC 3 report is a brief, publicly accessible version of the SOC 2 Type 2 attestation report for users who would like to assure themselves regarding the cloud service

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	provider's control elements, but do not require a complete SOC 2 report.
FACT **(Federation Against Copyright Theft)**	FACT certification is based on ISO/IEC 27001. Physical and digital security, reviewing, staff training, and access control are its core focus. The FACT Content Protection and Security Program makes use of expertise from judicial authorities, technology partners, and industrial associations in order to tackle copyright infringements and content theft, such as peer-to-peer sharing, illegal duplication of data carriers, and signal theft.

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