

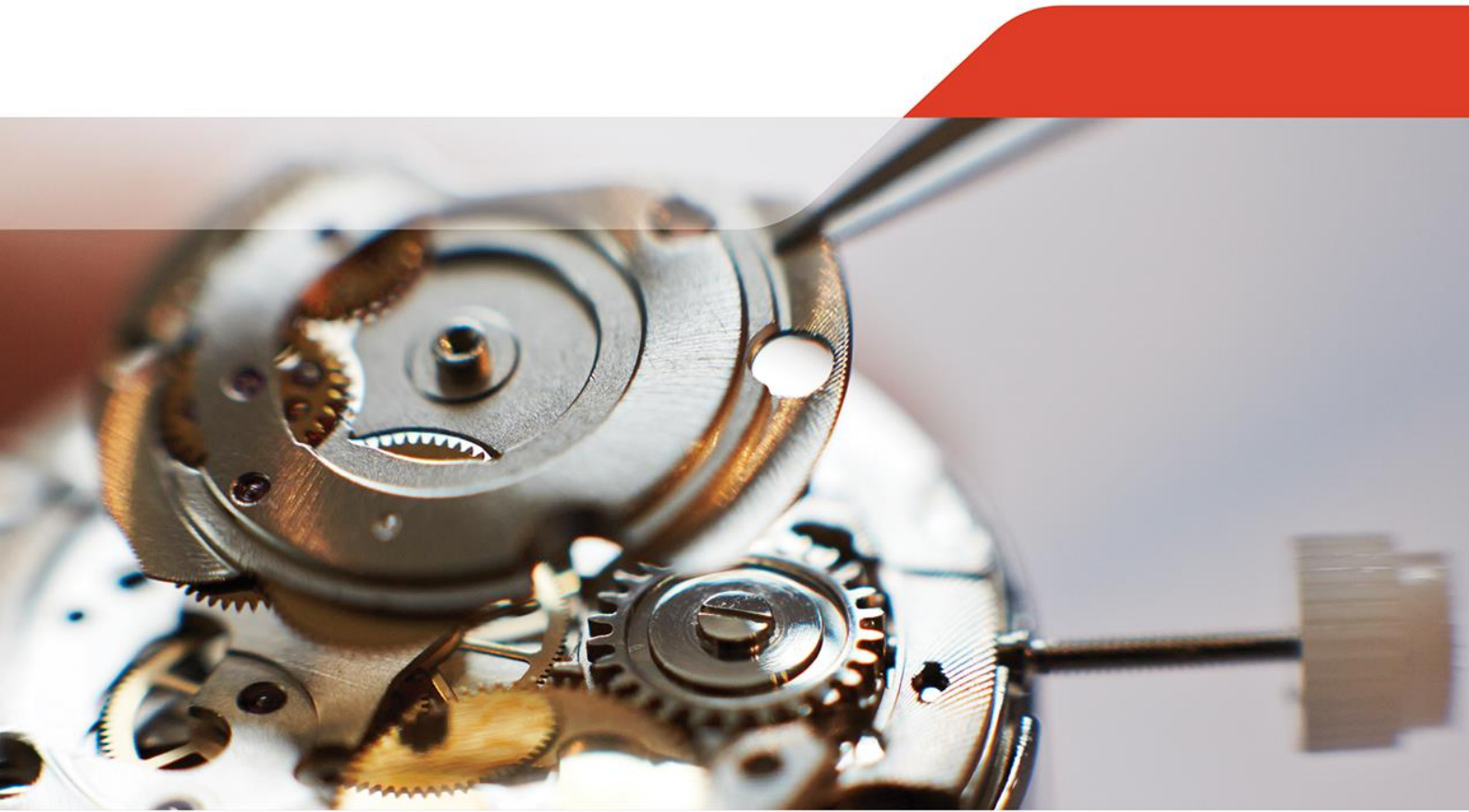


Securities Services

# SIX Trade Repository Ltd

## Support Services & Procedures

September 2017





# SIX Trade Repository AG

## Support Services & Procedures

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### 1.0 General information

#### 1.1 Scope of service

The Financial Market Infrastructure Act requires Swiss counterparties to report derivative trades to a trade repository. SIX will offer such a service for its clients via its legal entity SIX Trade Repository AG (“STR”). The Service Desk is the first point of contact for Reporting Users wishing to utilize STR services.

#### 1.2 Acronyms

Abbreviation	Meaning
FinfraG	Financial Market Infrastructure Act (FMIA)
GUI	Web user interface of the Reporting System
Reporting System	The Reporting System is the client-facing part of the SIX TR system. It accepts data from clients, validates it, and passes it on to the Trade Repository database.
Reporting User	Firm that is submitting data as participant of STR.
STR	SIX Trade Repository AG

#### 1.3 Service offering of the STR Service Desk

First and foremost, the Service Desk provides support to Reporting Users in both technical and business matters concerning the utilization of STR services.

The services provided also include distributing new software releases and interface specifications.

The Service Desk provides support for IT staff and business analysts in implementing and maintaining an interface to the Reporting System and using the GUI.

The main tasks of the Service Desk are maintaining a helpdesk for on-boarding and administering new and existing Reporting Users, as well as recording and analyzing problems and fault conditions and, where applicable, escalating error reports and change requests.

#### 1.4 Communication and documentation

The Service Desk compiles and maintains the documentation for all STR services. Documentation is made available online. The service offering comprises administrative, reference and user manuals.

The Service Desk also prepares service notices of a technical and/or operational character and distributes these to registered Reporting Users via e-mail.



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### 2.0 Service level definition

#### 2.1 Service areas

The primary objective is to maintain the productive operation of the Reporting System and provision thereof to Reporting Users. The Service Desk differentiates between four areas of service with respect to the support services provided:

Service area	Description	Comment
Interfaces	Support is provided to establish technical connectivity (SFTP or MQ) or if the utilization of the Reporting System is impaired.	
Maintenance	Enhancements of the latest software version through the provision of patches and new releases as well as through admitting/processing change requests.	
Documentation	Administration and updates of documentation and communications informing Reporting Users of upcoming events, releases or fault conditions.	
Advisory services	Reporting Users are advised in the usage of the GUI and with respect to data content required for uploads.	Advisory services are provided upon request, given the availability of appropriate resources. Advisory services relating to regulatory reporting content are only provided to the extent as reasonably practicable for a trade repository.

#### 2.2 Business hours

STR offers a member test system for clients. The member test system allows STR to ensure operational readiness before clients are migrated to the productive system and allows clients to test new releases in due time before implementation into the productive environment.

The business hours are as follows:

Member test system	
Support times	Operating hours
09:00 – 17:00 CET on Swiss business days from Monday to Thursday.	6 x 24 h (except maintenance weekends or as otherwise announced)
Production	
Support times	Operating hours
09:00 – 17:00 CET on Swiss business days from Monday to Friday.	6 x 24 h



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### 2.3 Service procedures

#### 2.3.1 First response

First response is defined as the receipt of a service request by a Service Desk staff member. The Service Desk provides a first response from 09:00 to 17:00 (CET) on business days. Service requests are accepted in both English and German and are usually answered within 24 hours.

If a query is related to a production issue affecting a user’s ability to report their business, then “urgent” or “dringend” should be added to the e-mail’s subject line. Such requests are usually responded to within 2 hours.

#### 2.3.2 Registration

Each service request received by the Service Desk is registered using a software tool, classified according to an internal classification scheme and assigned a unique identification number (ticket ID).

A special software routine is utilized for registering and monitoring the repair/resolution status of each system malfunction. Telephone conversations with the Service Desk may be recorded.

#### 2.3.3 Processing of service requests

Service requests may be submitted to the Service Desk by STR internal personnel as well as Reporting Users, including service providers that have been commissioned by a customer for the operation of their interfaces to STR.

#### 2.3.4 Response times

Service requests will be processed as illustrated in the following table.

Service request type:	Urgent production queries	General queries
	↓	↓
Response time:	2 hours	24 hours

The response times shown are valid on business days between 09:00 and 17:00 (CET).



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### 2.4 Communication channels

The Service Desk notifies its customers when unusual occurrences impair or prevent the productive usage of the Reporting System. The following table provides details with respect to the type of event, the means of communication and distribution of related notifications.

Event	Distribution	Communication channel
Failure of central processing components -> impact extends to all customers	All customers	Service Notice
Failure of peripheral components -> impacts several customers	Affected customers	Service Notice or failure alert by phone
Failure of peripheral components -> impacts one or only individual customers	Affected customers	Service Notice or failure alert by phone
Impairment of a specific function	All customers	Service Notice
Closure of service request (if none of the above apply)	Submitter(s) of the service request	E-mail

### 3.0 Point of contact

**Whenever possible, queries should be addressed by e-mail.** To ensure an immediate response, it is recommended to include the following information (if applicable):

- Screenshot(s) of the problem encountered in the SIX Reporting System; and
- Uploaded report file

TR Service Desk	E-mail	Phone number <b>(for urgent queries only)</b>
Functional & technical queries	traderep@six-securities-services.com	+41 58 399 66 50
General queries	traderep@six-securities-services.com	+41 58 399 66 50

### 4.0 Escalation procedure

Should you not be satisfied with our operational processes, the client support team or, in the case of urgent issues related to the production environment, various escalation levels are in place for you to address the issue:

#### Escalation level 1

Jakob Lichtner  
 Product Management SIX Trade Repository AG  
 +41 58 399 4048  
[jakob.lichtner@six-group.com](mailto:jakob.lichtner@six-group.com)

#### Escalation level 2

John Cummins  
 Head SIX Trade Repository AG



Securities Services



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+41 58 399 2287

[john.cummins@six-group.com](mailto:john.cummins@six-group.com)

Please note that the escalation levels mentioned above are not for issues related to the testing environment. In such cases, please contact us at [derirep-testsupport@six-group.com](mailto:derirep-testsupport@six-group.com).

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