

Service Level Document

Service description

Moody's Sanctions360 network analysis solution helps companies uncover sanctions related risk in their customers, counterparties, and supply chain more efficiently and effectively. Sanctions360 looks at sanctions by extension, looking beyond just ownership for control factors. It enables companies to conduct deeper investigative research as part of their enhanced due diligence.

With our solution, you gain access to:

- 600M+ entities with information on beneficial ownership, directors, and more from Moody's Orbis database.
- Analysis of the UK, EU and US sanctions lists, including OFAC (SDN, SSI and Non-SDN) for direct and indirect sanctions, as well as coverage of Canada, Switzerland, Australia, New Zealand, Japan and Singapore lists.
- 20 Degrees of separation checked, so sanctioned entities can't hide their ownership or control.
- 28M+ Profiles in the Moody's Grid database, which includes information on sanctions and adverse media.
- Frequent Updates Sanctions lists updated every 24 hours, and UBO and corporate ownership structures updated weekly. → 360° View covering sanction lists, sanctions by ownership, subsidiaries, leadership, and more.

Database update frequency:

Daily updates

Data backup and restore, disaster recovery plans

Moody's is committed to being prepared to quickly recover and resume operations in the event of a significant business interruption.

Resilience and disaster recovery planning is in place to ensure the technology and systems to support the recovery processes for critical business functions. There is a disaster recovery team in place that is responsible for mobilizing and managing the recovery process. The ensure disaster recovery procedures are rehearsed and tested.

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Moody's has identified the applications that are critical to our business. These applications are implemented in separate production and recovery data centres using industry-standard practices to switch data from the production site to the recovery site without loss of data and minimum downtime. This will be reviewed as part of the Business Continuity Plan implementation. Disaster Recovery Planning activities are not limited to recovery but ensures that production environments are designed from a technology and systems perspective to support the recovery processes for critical business functions, this may include using redundant processing capacity at other locations. Other activities include;

→ Our backup policy requires performing daily and weekly backups of critical data of our internal and hosted applications.

→ Moody's maintains an appropriate BCP in compliance with applicable laws and consistent with industry standards.

→ BCPs are maintained and tested regularly: We review our BCP and risk assessment regularly. The BCP is tested and updated regularly to ensure that it is up to date and effective. We can provide a Business Continuity Overview document upon request.

DR plans are maintained and tested annually: We maintain appropriate DR plans for each of our SaaS-hosted products. The plans include details on application description, key personnel, data backups and recovery, offsite storage, and failover and failback procedures. We perform annual disaster recovery tests for our SaaS hosted products to validate the Recovery Point Objective (RPO) and Recovery Time Objective (RTO) timeframes of less than or equal to 24 hours.

We have established comprehensive information security policies, standards, procedures, and guidelines that address physical, technical, and administrative requirements to protect customer business data. We review these documents, update them annually, and share them with applicable parties, including employees and third parties required to comply with these policies. The list of key information security policies, standards, procedures, and guidelines include:

- IT (Acceptable) Use Policy
- Physical Security Policy
- Network Security Standard
- User Access and Management Standards

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- Patch Management Standard
- IT Asset Management Standard
- System Hardening Standard
- Vulnerability Assessment Standard
- Log Management Standard
- Information Security Incident Response Plan
- Backup Standards
- Business Continuity and Crisis Management Plans
- IT Asset Disposal Procedure

Being part of a top tier financial services and information provider, we take our commitment to our clients very seriously. We continue to seek ways to improve our preparedness as we recognize new methods to manage business disruption risks, and to coordinate recovery efforts throughout the firm.

Onboarding and Implementation

Moody's structured implementation approach ensures that our projects are aligned with our customers' business strategy so they can quickly achieve all benefits of the Moody's Solution.

Each customer will have a dedicated team that will cover the following aspects; front line support (helpdesk), training, and commercial account management.

Each one of these roles provides a key element, and together will ensure the customer has the best support possible.

Moody's support team will always try to help our customers get the most out of the solution they have purchased. Throughout the contract length, our teams of account managers and helpdesk support will help identify more within the solution and share new ways to utilise the database.

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Access to the user interface and APIs are limited by a number of users. Users will be sent an email directly containing their login details. Users can be deleted and added on the administration site and passwords can be updated/reset. Anyone who does not have a username/password will not be able to access the system.

Users will access the data feed via Datahub, which allows for secure FTP server which will enable them to use and download the data needed, each individual user will log into using their unique email and password. Through this secure FTP connection users will have access to all the database where they can use with any tool or process. Datahub also allows for use of cloud storage services, such as S3, Google Storage, or Azure Blob Storage.

Availability of serviced is 99.5%.

After Sales Support

Support and Training material

Support and training will be provided by a designated account manager. The account manager will be on-hand to answer any questions around access/use of the data from Sanctions360, if there are any more technical data questions that the account manager is unable to answer, they will involve the help desk/product specialists.

Customer service

You will also have access to the help desk for any questions they may have. This team can be reached at clientservices@moodys.com

Email support is available 24/7.

Phone support is available 8:30am – 6pm UK hours.

There are further resources available within Moody's itself such as technical documentation and guides. Technical requirements Moody's platforms will work with Internet Explorer (IE10 upwards) Google Chrome and Firefox.

Technical Requirements

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