

Epiq Relativity Service Definition

1. Service Description

Epiq Relativity is a client-server web-based application utilising an internet-based connection over HTTPS, facilitated by a web browser running on the client device and an Epiq-hosted web server. Relativity's highly granular security architecture allows case administrators to set permissions by client user and user group. Individual user access can be limited to one document, a group of documents, data fields, redactions, highlights, annotations, TIFF-on-the-fly, printing, and more. Users also can be restricted by IP address, which can be used to enhance security by limiting access outside a controlled environment. Relativity allows the same collection of data to be viewed in a limited format for expert review or in an expanded format for the case team, eliminating the need for multiple iterations of the same database.

2. Service Scope

The Epiq instance of Relativity offers the following analytic capabilities to end users:

- **Categorisation.** Clusters documents into useful pre-set categories that assist in identification of documents that are representative of key concepts in a case.
- **Visual clusters.** Heat maps can show which clusters include documents from searches. Automatically identifies conceptually similar documents and is utilised to identify blocks of irrelevant documents or to batch for review.
- **Email threading.** Identifies emails that are related, and the endpoints in these conversations so that a reviewer need only review the final email.
- **Near-duplicate analysis.** Identifies documents with a high percentage of the same text.
- **Language analysis.** Enables segregation of foreign language documents and population of appropriate search terms for attorneys or review teams.
- **Keyword expansion.** Identifies documents and words with the highest correlation to a given word. Useful for identifying important but unknown keywords.
- **Find Similar.** Helps with fact investigation – returns all documents like the example document ranked by similarity.
- **Concept search.** Returns documents with misspellings traditional Boolean searches miss. Identifies documents conceptually similar to the word, phrase or paragraph entered.

3. Technical Specifications and Requirements

The Epiq Relativity user interface is accessible via the internet and supports the following browsers:

- Microsoft Edge
- Firefox
- Chrome
- Safari 9+

It is accessible on mobile devices and it is possible to review and code documents using the iPad application. More advanced functionality is only available in the desktop application.

4. User Support

a. Onboarding

Initial client engagement is focused on a kick-off meeting, which may take place in person or on a conference call/web presentation. This will define the scope of services to be provided, key client deadlines, data sources to be processed and loaded to the online review platform and information that will assist our project management team to design the database to the specific requirements of the matter. The initial meeting is followed up with a training session, usually delivered online, where a small set of data is loaded to the online review tool and key stakeholders are introduced to the functionality of the database, as well as the specific configuration that has been deployed for the team. After taking feedback from the key stakeholders, any further changes that need to be made are implemented by the project management team and training provided to the full user community, either online or in person. Our training programmes are also supported by user guides available in PDF format and other online resources.

b. Offboarding

With regards to end of contract data extraction, data can be provided in a variety of formats in accordance with customer requests. The most common data formats are documents in their native format together with an industry standard load file, which enables the documents and data to be loaded into Relativity or any equivalent software in the event that any further analysis of the documents is required. If documents contain redactions, then both a redacted version of the document in image format and a clean copy can be provided. When documents are intended for archive and no further active use is anticipated, then a PDF delivery for all documents is often requested. We have experience of working with national archives and can provide deliveries to their specification. Documents and data are delivered on hardware encrypted USB media. Whilst clients can be enabled to download documents and data via the browser interface, it is usually more cost effective to have our system administrators run this process.

Epiq will confirm what form of archive the clients require for their data and provide them with a cost estimate for that archive. Upon approval of the estimate, the data is archived and provided to the client for review and confirmation that the archive meets their requirements. Upon confirmation of the accuracy of the archive, and if instructed by the client, we will delete all client data.

5. Service Constraints

The Epiq Relativity service is deployed via the internet and is compatible with Google Chrome, Firefox and Internet Explorer browsers, as well as Apple devices running Safari. Relativity cannot be accessed via mobile or tablet devices running Android.

6. Service Levels

Epiq offers 24/7/365 business support. Epiq confirms service level agreements (SLAs) and key performance indicators (KPIs) will be put in place to measure and manage key aspects of service delivery. Details of agreed SLAs and KPIs will be incorporated into a Service Level agreement which is made part of an overall Master Services Agreement.

7. Outage and maintenance management

Epiq confirms scheduled downtime via email 24 to 48 hours prior to each maintenance window. Epiq will notify clients in advance of minor releases. The upgrades can normally complete overnight during off-peak business hours. Epiq will notify clients 7 to 10 days in advance of a major release and indicate if there will be any extended downtime. Epiq performs all system maintenance and the Epiq client services team will work with clients to determine the available options if there are proposed changes the client firm does not want implemented at that time.

For any incidents identified by the client on Relativity, queries and issues should be submitted to support@epiqglobal.com which will be logged in a ServiceNow ticketing system as Incidents. Epiq will generally assist in troubleshooting most issues until we determine if the issue is on Epiq's side or on client side. Telephone support is also provided as standard for any troubleshooting.

Issue Severity	Response
P1 Critical: The issue blocks the operation of the system and stops progress in more than one business critical process and there is no workaround identified	Response: 15 minutes Fix: ASAP (work to resolution 24/7/365)
P2 - High: The issue causes a critical process to be interrupted and there is no acceptable workaround	Response: 15 minutes Fix: ASAP (work to resolution 24/7/365)
P3 - Medium: The issue prevents an operation being completed as designed	Response: 60 minutes Fix: <8 hours (business hours)
with the data selected. A practical workaround exists (temporary or permanent)	

P4 - Low: The issue is minor and/or cosmetic and/or causes a minor deviation from the expected operation	Response: 60 minutes Fix: <24 hours (business hours)
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8. Security details

a. Information security and governance

Information security is managed through a dedicated information security team who are responsible for designing and updating policies relating to user access, physical controls, network storage, appropriate use of systems and compliance with existing legislation. Policies are reviewed and updated on a quarterly basis. Mandatory training on security issues is provided to all employees when they join the company and at least annually during their tenure. Our data centre and operations centre have been accredited to ISO 27001 standard and as part of this certification we are regularly interviewed and audited by an external auditor - a process that evaluates our policies and practices to identify and resolve potential vulnerabilities.

b. Operational security

- Configuration and change management approach

Configuration of the software is based on recommendations made by Relativity, which are reviewed by our IT and information security teams. License management of any third-party products relating to the service (such as Microsoft SQL) is managed by our IT team who monitor, renew and update any such applications as needed. Upgrades to the Relativity application are planned with the aim of always providing an environment within a single point release of the current version. Relativity supplies upgrade documentation which is reviewed by our IT and information security teams prior to planning any upgrade work.

- Vulnerability management approach

Maintaining the security of our systems and services involves work from both our Information Security team and Relativity, as well as external penetration testing by third parties. Any threats identified are analysed to confirm if the solution requires a code update in the core application or relates to services under our control. The threat is assessed on a Critical, High, Medium or Low basis and a path for resolution agreed that is appropriate to the level of the threat. Patches are typically applied every 2 weeks, with the option to change this if necessary.

- Protective monitoring approach

Our data and system use are monitored through intrusion detection mechanisms in line with our IT security policies. These send alerts to the IT team for investigation in the event that unauthorised attempts to access the system are identified. In addition to threats identified in this way from external sources, all user activity within the Relativity application is audited and logged, and a full history maintained. Incidents are escalated

in line with our incident reporting policy, which determines further internal action to be taken and reporting processes for clients.

- Incident management approach

We maintain a Crisis Management Plan which sets out our approach to reporting and responding to security incidents. Employees report incidents to the information security team using a standard format document and the team is responsible for investigating the reported activity in a timely manner and reporting findings to the client, management and any appropriate external authorities as necessary. Incident reports are usually provided by secure email. Our information security team subscribes to various industry alert services to keep abreast of relevant threats, vulnerabilities or alerts from actual incidents.

9. Business continuity/disaster recovery

Epiq recognises its responsibility for business continuity/disaster recovery and the impact an extended disruption would have on the organisation and its customers. Epiq maintain a Crisis Management Plan (CMP) to facilitate the development of procedures and standards that ensure timely response, recovery, and restoration of Epiq's critical services and business processes in the event of a business disruption. The policy is applicable company-wide, which includes company locations, business units, corporate functions, and associates and must be adhered to by all Epiq employees or temporary workers at all locations and by contractors working with the company as subcontractors.

Epiq replicates eDiscovery case data to a secondary, geographically distinct site, with a recovery point objective (RPO) of 24 hours. Epiq does not currently offer a service level agreement for recovery time objective (RTO). In the unlikely event of a major disaster at the primary data centre, Epiq will work with clients to ensure transfer of data, including attorney work product, from the secondary site in support of alternate hosting arrangements.

The CMP includes a business continuity management (BCM) program to prepare the organisation for crisis situations (e.g. loss of critical office location, pandemic events). Tests are performed at least annually, which include cross-functional coordination and walk-throughs of business resumption scenarios as well as crisis management and communication simulation activities.

10. Implementation plans

Epiq can work with the client to draft a detailed implementation plan prior to the commencement of a project.

11. Associated services included/not included, e.g. API's, bolt on services, maintenance, professional services, storage

Epiq Access, available globally, provides a unified digital interface and single sign-on experience to gain access to Epiq and third-party legal applications and business services, legal business intelligence dashboards and reports, project status, support

requests and tracking, and Epiq's easy-to-use SaaS eDiscovery solution, Epiq Discovery.

Epiq has installed the following plugins in its Relativity instance:

- NexLP. Continuous Active Learning (CAL) analytics tool which performs the following functions:
 - Social network analysis/conversation mapping is available with NexLP Story Engine.
 - Entity normalisation identifies numerous names or labels for a key noun (person place or thing).
 - Sentiment analysis identifies communication or documents that are negative, high pressure for example.
- Brainspace. Analytics tool used to cull document collections easily and conduct early case assessment efforts
- Blackout. Imaged-based mass redactions and Native Excel redactions.
- Veritone. Audio and video processing engine with automated transcriptions.

Epiq has also developed other innovative solutions to further streamline Relativity workflows and maximise efficiencies, while keeping client budgets in mind. Examples include:

- Production Conflict Assessment. A proprietary development which allows users to run complex production conflict checks quickly and reduces the amount of manual work required by the project team to complete these requests. The application identifies conflicts using template saved searches, which can be run against documents slated for production. Users can identify one or more conflicts such as privilege documents, previously produced documents, etc. These conflicts can be grouped together and run as a single check prior to every production.
- Advanced Workflows. Workflows focused on reducing cost and time spent on document review which is based on client, matter and data types.
- Privilege Log Assembler. Proprietary development for privilege logging includes several canned text strings available in pick lists on Relativity Review layouts that users can select as needed. Upon completion of a review, a script concatenates the various text strings together to form complete privilege descriptions. Those values are saved in a text field and can easily be exported into a privilege log. This solution not only allows for faster description entry but also for very consistent descriptions in the final privilege log export.

12. Development lifecycle of the solution

Epiq's Innovation Team goes through quarterly reviews of enhancement requests and aligns a continuous roadmap with our client's business needs. Epiq confirms scheduled downtime via email 24 to 48 hours prior to each maintenance window. Epiq will notify clients in advance of minor releases. The upgrades can normally complete overnight during off-peak business hours. Epiq will notify clients 7 to 10 days in advance of a major release and indicate if there will be any extended downtime.

Epiq performs all system maintenance and the client services team will work with clients to determine the available options.

13. After sales account management

Epiq utilises a team-based client engagement structure with communication channelled through our central client services project management organisation and is complemented by the internal engagement of subject matter experts across multiple functional groups as needed.

Project Managers serve as the anchor to Epiq's ability to respond and deliver on point and on time to client needs. Project Managers are the liaison with all other functional teams across Epiq to mobilise the proper contingent of contributors to any given matter or account.

Epiq's communications are channelled through the use of client and matter specific distribution lists. All parties are kept abreast of matter developments and progress reports. At the beginning of a project, Epiq coordinates with the client to scope out the client services support needs for that engagement and will source internal resources appropriately. Those resources may span across multiple time zones and geographies if such a need is anticipated. Should time zone/geography concerns arise mid-project, the client services team is well equipped with a deep bench spanning multiple regions and can add resources quickly and appropriately to the project. Upon the establishment of a broader or recurring engagement with an ongoing client, Project Manager resources will be maintained to work as a regular project team to help maintain consistency across client projects and matters (this streamlines communications protocol, project specifications gathering, operational standardisation, timeline requirements, and so on). Note that our client-specific project teams often range across multiple geographies and time zones based on client needs as well.