

Thomson Reuters Connect Product Notes

Product License Metrics

Thomson Reuters Connect is provided in two license models allowing the product to be used for data integration only (Middleware Integration Model), or allowing the product to be used as an end-user application supporting a wide range of processes (Application Solution Model). The following outlines the specific license metrics and restrictions for each license model:

Middleware Integration Model

A Client licensing Thomson Reuters Connect using the Middleware Integration Model, as indicated by the inclusion of the *Thomson Reuters - Application Integration Framework* on the Order document, may use the Software for the purpose of bi-directional data integration and data aggregation. This may include data mapping, data quality management processes and/or error management processes. This may also include data aggregation reporting for the

purposes of providing read-only dashboards or management reports on the aggregated data.

The Middleware Integration Model explicitly excludes the provision of any end-user interfaces for interacting with or editing or processing the data except as required to support the integration process, data quality management or error handling. The Middleware Integration Model also explicitly excludes the provisioning of workflows to support User to User processes (e.g. review and approval processes) except as required to support the integration process, error handling or data quality administration.

The total number of sources that may be integrated using a single Application Integration Framework is not explicitly restricted by license, however infrastructure size and/or performance as well as other practical constraints may exist. Client must purchase the required Adapter licenses to support the individual data source instances as specified in the License Grant Table below. If the source is not a TR Service, notwithstanding any other provision of the Agreement, TR shall have no responsibility for the functioning of the source.

License Grant Table - Thomson Reuters Connect, Middleware Integration Model

Product License	Required	Non-production Instances	Production Instances	Integration Sources per License
Thomson Reuters Connect Application Integration Framework	Yes	Up to 20 Instances/License	1 Instance/license	Unlimited
Thomson Reuters Connect ARM Adapter	No	Up to 20 Instances/License	1 Instance/license	1 Source Instance/License
Thomson Reuters Connect eGRC Adapter	No	Up to 20 Instances/License	1 Instance/license	1 Source Instance/License
Thomson Reuters Connect Reuters Regulatory Intelligence Adapter	No	Up to 20 Instances/License	1 Instance/license	1 Source Instance/License
Thomson Reuters Connect Compliance Complete Adapter	No	Up to 20 Instances/License	1 Instance/license	1 Source Instance/License
Thomson Reuters Connect Compliance Advisor Adapter	No	Up to 20 Instances/License	1 Instance/license	1 Source Instance/License
Thomson Reuters Connect ACC Adapter	No	Up to 20 Instances/License	1 Instance/license	1 Source Instance/License
Thomson Reuters Connect Sharepoint Adapter	No	Up to 20 Instances/License	1 Instance/license	1 Source Instance/License
Thomson Reuters Connect XML Adapter	No	Up to 20 Instances/License	1 Instance/license	Unlimited
Thomson Reuters Connect XLS Adapter	No	Up to 20 Instances/License	1 Instance/license	Unlimited
Thomson Reuters Connect Custom Adapter (+SVCs)	No	Up to 20 Instances/License	1 Instance/license	1 Source Instance/License

Application Solution License Model.

The Application Solution License Model is composed of a required *Thomson Reuters Connect – Portal Administration Module* and individual Solutions Modules identifying the Business Activity for which the Thomson Reuters Connect technology may be used. A Solution Module is a specific combination of data structures, process flows, and user interfaces configured or built to provide software function support for a discreet, defined Business Activity.

The *Thomson Reuters Connect – Portal Administration Module* provides foundation security and administration features, the Nodal Map editor, and the Enhancer configuration toolkit. The Portal Administration Module may only be used in conjunction with at least one Solution Module and in support of the administration of the purchased Solution Module(s) and related Business Activities. The capabilities of the Portal Administration Module may not be leveraged to build solutions for Business Activities not reasonable contained within the definition of the Business Activity associated with the purchased Solution Modules.

The different Solutions Modules provide the Client with the license to leverage all capabilities of the Thomson Reuters Connect platform for the purpose of supporting the identified Business Activities associated with the Solution Module. Unless otherwise specified all Solution Modules are licensed for usage by the Client on a global basis with no User count restriction except that Users may only access the Service to perform tasks related to the licensed Solution Modules.

Solution Modules may be delivered as pre-configured package including foundation data models, workflows, and user-experience provided by Thomson Reuters. Solution Modules may also be provided as bespoke configurations delivered by Thomson Reuters Professional Services or 3rd party. Solution Modules may also

be created leveraging the configuration tools by the Client. In all cases the combination of a data model, workflows, and user screens designed to support a discreet Business Activity shall be considered a Solution Module and shall require the appropriate Solution Module license.

In the case where an appropriate Solution Module to address the required Business Activity is not identified by Thomson Reuters, the customer may purchase as “Custom Module”. Custom Modules may be configured by Thomson Reuters Professional Services, a 3rd party services provider, or by the Client’s own resources. A single “Custom Module” license may only cover a single defined Business Activity defined in the notes of the Order document at the time the Custom Module is purchased.

License Grant Table – Thomson Reuters Connect, Application Solution Model

Product License	Business Activity	Pre-Requisites	Non-production Instances	Production Instances	Integration Sources per license
Thomson Reuters Connect Portal Administration Module	Not Applicable	Minimum of 1 Solution Module	Up to 1 Instances/License	1 Instance/License	Unlimited
Thomson Reuters Connect Conduct Risk Module	Conduct Risk Management	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Enterprise Risk Module	Enterprise Risk Management	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Model Risk Module	Model Risk Management	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Financial Controls Module	Internal Controls & Financial Reporting	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Risk and Control Assessment Module	Risk and Control Assessment	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Compliance Audit Module	Compliance Audit	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Reg Change Mgmt Module ASIA	Compliance Restricted Asia	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Reg Change Mgmt Module AUS/OC	Compliance Restricted Aus/OC	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Reg Change Mgmt Module LAT/CAR	Compliance Restricted LAT/CAR	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Reg Change Mgmt Module ME/AFR	Compliance Restricted ME/AFR	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Reg Change Mgmt Module NA	Compliance Restricted NA	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Reg Change Mgmt Module UK/EU	Compliance Restricted UK/EU	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Reg Change Mgmt Module GLOBAL	Compliance	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Policy Management Module	Policy Management	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Audit Management Module	Audit	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect Custom Module	Customer Defined	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Not Applicable
Thomson Reuters Connect BARM Adapter	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	1 Source Instance/License
Thomson Reuters Connect GRC Adapter	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	1 Source Instance/License
Thomson Reuters Connect Reuters Regulatory Intelligence Adapter	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	1 Source Instance/License
Thomson Reuters Connect Compliance Complete Adapter	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	1 Source Instance/License
Thomson Reuters Connect Compliance Advisor Adapter	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	1 Source Instance/License
Thomson Reuters Connect ACC Adapter	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	1 Source Instance/License
Thomson Reuters Connect Sharepoint Adapter	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	1 Source Instance/License
Thomson Reuters Connect XML Adapter	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Unlimited
Thomson Reuters Connect XLS Adapter	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	Unlimited
Thomson Reuters Connect Custom Adapter (+SVCs)	Integration	Portal Administration Module	Up to 1 Instances/License	1 Instance/License	1 Source Instance/License

Business Activities

“**Audit**” use for the Client’s internal audit functions and activities including; audit planning and scheduling, audit performance tracking, audit execution, audit administrations, audit surveys, audit reporting, audit issue management, and audit committee reporting. Excluding for the Client’s business risk and control assessment and compliance audit functions

“**Compliance**” use for the Client’s legal or regulatory compliance functions and activities; including regulatory intelligence, regulatory inventory, regulatory change management, regulatory exam management, compliance issue management and compliance reporting.

Excluding for the Client’s audit, business risk and control assessment and compliance audit functions. Note the compliance business activity may be further constrained to a specific geography as noted on the module license specified on the order document.

“**Compliance Audit**” use for the Client’s internal independent compliance review process

“**Conduct Risk Management**” use for the Clients conduct compliance and risk management processes including conduct program management, conduct framework, activity planning and scheduling, conduct issue and action plan management, aggregated conduct risk reporting and dashboards.

“Customer Defined” use for the Client’s specified business function where the function can be reasonably defined as a singular end to end process and the business function is not covered by any of the business activities defined here in.

“Enterprise Risk Management” use for the Client’s Enterprise Risk management including; aggregation of strategic risk, operational risk and financial risk data, management dashboards and reporting, and regulatory review.

“Integration” use for the Client’s integration of external data sources

“Internal Controls over Financial Reporting” use for the Client’s internal controls over financial reporting compliance, Sarbanes Oxley compliance and similar regulations including, process documentation and framework management, financial account and risk based scoping, control testing, self-assessments, management certification and surveys, issue management, reporting and external audit reviews. Excluding internal audit management, and business risk and control assessment outside the scope of financial reporting controls.

“Model Risk Management” use for the Client’s model risk management processes including; model inventory, model testing and validation, model issue management, model risk compliance reporting.

“Operational Risk Management” use for the Client’s quantitative and qualitative risk management processes including; risk context, risk identification, risk assessment, scenario analysis, stress testing, risk mitigation strategies, management action plans, issue management, key risk indicators, loss and incident management, operational risk reporting, risk aggregation, capital reserve planning.

“Policy Management” use for the Client’s policy management processes including; Policy library management, Policy mapping to regulatory inventory, policy authoring, policy publishing, read and understood, integration with learning management, policy attestations, policy issue management policy reporting.

“Risk & Control Assessment” use for the Client’s qualitative business risk and control assessment processes including; risk identification, risk to business mapping, control identification, risk and control assessment, risk and control issue management