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Dear Valued Customers and partners:

With many countries now on lockdown, and increased measures being taken to halt the spread of COVID-19 – Coronavirus – I wanted to reiterate the steps that Finastra is taking to ensure the health and safety of our employees, and that of our customers, partners and vendors.

We have implemented stringent guidance across the globe, consistent with the guidelines from the World Health Organization (WHO) and The Centers for Disease Control and Prevention (CDC), and are monitoring this so that we can adapt as required.

As well as introducing preventative control measures, we have halted all international travel, shifted to full remote working and put in place enhanced visitor restrictions where necessary. Finastra has fully scalable Business Continuity and Pandemic Plans in place, and a cross-functional team is working hard to ensure we do our utmost to mitigate the risk, while continuing to support our customers.

For further information relating to Finastra's response to this pandemic, please contact your Finastra customer service representative or clientduediligence@finastra.com.

We will keep you apprised of any significant developments in our handling of this situation. I wish you good health and thank you for your ongoing support.

Simon

Sincerely,





Corporate Pandemic Plan Overview

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Finastra's Corporate Pandemic Plan Overview

Finastra is committed to protecting the health and safety of our employees and the business we conduct. We approach preparedness from a philosophy of resilience – we prevent what we can, we plan and prepare for what we cannot control, and we respond to incidents using a planned response mechanism. Although the threat landscape for any business is broad, the threat of an infectious disease event has unique qualities that require special planning and attention. Human Resources and Business Continuity Management have partnered to create Finastra's Corporate Pandemic Plan. This overview describes the key components of the plan and how Finastra is prepared to manage a crisis of this nature.

Pandemic Response Team

The Corporate Pandemic and Infectious Disease Plan is reviewed and approved annually by the Pandemic Response Team and owned by the Chief Risk Officer.

The Pandemic Response Team consists of leaders who have key responsibilities during a health crisis and would work in partnership with one another to manage the situation. Responsibilities of the Core Members include, but are not limited to:

- **Human Resources** – Initiate HR specific policies for pandemic circumstances as appropriate; monitor absenteeism; provide policy guidelines and assessment information.
- **Health and Safety** – Take necessary actions to protect the health and safety of employees and visitors. Ensure all corporate and regulatory health and safety standards are being adhered to.
- **Facilities** – Take necessary actions to maintain the condition of the facilities in order to protect the health and safety of employees and visitors.
- **Internal/Employee Communications** – Lead the Employee Communications work stream during a Pandemic event; distribute general preparedness communications to employees, send notification to invoke absenteeism monitoring and provide advice on information to add to the Employee Information Hotline.
- **Client Communications** – Communicate with clients, supplier/vendors, and other third parties during a pandemic.
- **Travel security management** – Monitor Government recommendations and communicate any restrictions or cautions to the Response Team.
- **Technology Services** – Identify, monitor and advise any network or bandwidth limitations or impediments relating to employee accessibility during peak usage.
- **3rd Party Risk Management** – identify and communicate with business partners and clients on any potential changes in process or service delivery risks identified.
- **Business Resiliency Services** – Monitor, plan and implement the Pandemic Plan response; develop the recovery action plans for areas of expertise; coordinate all monitoring, implementation and conference call tasks.
- **Legal and Privacy** – Provide legal and privacy support and approval for communications distributed and for employee policies.

During a pandemic, Finastra will monitor and follow the directive of public health authorities. To manage our business response, Finastra has established a set of triggers and criteria with corresponding actions. These are laid out in five phases, with each phase based on impacts to staff, clients and the business.

Additionally, we have created defined actions which serve to support the activities that will be taken

during any phase or combination thereof in addition to the Corporate level plan, each line of business within Finastra has created scalable recovery strategies to address staff shortages due to an infectious disease event as part of the overall Business Continuity Planning process. These strategies may be invoked in whole or in part at any time to support the overall Corporate Pandemic Plan.

Initial Response Actions

- Employees will be educated on the situation and advised frequently throughout the event
- Work from Home strategies will be initiated
- Facility cleaning and disinfection measures may be taken
- Health & Safety screening measures may be implemented (temperature checks, travel/itinerary surveys)
- Non-essential travel may be suspended in order to support our most critical business functions.
- Situation specific messaging will be provided to employees, clients and partners with an established cadence and communication media

Pandemic Phases, Triggers and High-Level Actions

Finastra has developed phases with corresponding triggers and actions for each pandemic phase.

These actions are simply the preparatory steps taken when we are not experiencing a public health emergency, such as the development of pandemic specific policies and strategies.

- **Phase 1**

Triggers – Initial impact, <15% workforce absenteeism; facility is fully accessible and/or no significant impacts from external partners/vendors and/or minor impacts to clients.

High Level Actions – Monitor situation, be on “Crisis Alert,” take preventive measures, monitor absenteeism and communicate with employees.

- **Phase 2**

Triggers – ≥ 15 - <25% workforce absenteeism; and/or facility is fully accessible; and/or no significant impacts from external partners/vendors; and/or minor impacts to clients.

High Level Actions (in addition to above) – Assess impact and hold daily update calls, communicate with clients and vendors, monitor media, implement social distancing, confirm critical business functions required and plan for vaccination when it becomes available.

- **Phase 3**

Triggers – ≥ 25 – <50% workforce absenteeism; and/or facility availability is uncertain; and/or impacts from external partners/vendors; and/or moderate impact to clients.

High Level Actions (in addition to above) – Activate travel and visitor restrictions, confirm which non-essential processes or projects may be put on hold in order to focus on most critical business processes.

- **Phase 4**

Triggers - ≥ 50 % workforce absenteeism; and/or facility is unavailable; and/or significant impacts from external partners/vendors and/or significant impacts to clients.

High Level Actions (in addition to above) – Continue focus on employee safety and processing critical business functions and begin to establish criteria for agreeing to return to business as normal when appropriate.

- **Phase 5**

Triggers – Once it has been determined that the Pandemic Plan is to be deactivated, assess the ability of Finastra to return to normal operations.

High Level Actions – Communicate with clients and vendors to ensure all outstanding inquiries are answered, assess clients’ needs, establish criteria for agreeing to return to normal business operations based on the situation, restock personal protective equipment, conduct post incident reviews, prepare for next wave.

Summary

While public health events cannot be predicted, Finastra has taken precautionary steps necessary to help minimize impacts to staff and to our clients. We are confident that by continuing to develop our plans and proactively managing our response, we will be well positioned to maintain our critical operations in support of our clients and employees.

Approval and Version History

Version	Date	Approver	Author	Description of Changes
1.0	September 13, 2018	Elona Ruka-Wright, Chief Risk Officer	Gillian Catalano, Principal, Business Resiliency Services	Initial
2.0	September, 2019	Elona Ruka-Wright, Chief Risk Officer	Lisa Hood, Lead, Business Resiliency Services	Annual Review
	December 6, 2019	Tabletop exercise and review		



About Finastra

Finastra unlocks the potential of people and businesses in finance, creating a platform for open innovation. Formed in 2017 by the combination of Misys and D+H, we provide the broadest portfolio of financial services software in the world today—spanning retail banking, transaction banking, lending, and treasury and capital markets. Our solutions enable customers to deploy mission critical technology on premises or in the cloud. Our scale and geographical reach means that we can serve customers effectively, regardless of their size or geographic location—from global financial institutions, to community banks and credit unions. Through our open, secure and reliable solutions, customers are empowered to accelerate growth, optimize cost, mitigate risk and continually evolve to meet the changing needs of their customers. 48 of the world’s top 50 banks use Finastra technology. Please visit finastra.com.

