



FUNDSQUARE

## BUSINESS CONTINUITY PLAN DISCLOSURE

FUNDSQUARE S.A. (hereafter “Fundsquare”) is a subsidiary of the Luxembourg Stock Exchange (hereafter “LuxSE”) and is using the LuxSE technical Business Continuity Plan and Disaster Recovery Plan (hereafter BCP/DRP).

### Overview

Fundsquare along with the LuxSE (collectively and for the purposes of the BCP/DRP) are committed to do their best efforts to safeguard clients’ best interests in the event of an emergency or significant business disruption.

The BCP/DRP summarizes all infrastructures, processes and testing of these processes and infrastructures to mitigate the risks inherent to an unforeseen business interruption.

The BCP/DRP is designed to meet the existing obligations of the company towards clients even in the event of significant business disruption.

The technology systems of both Fundsquare and the LuxSE are located in different buildings from the place where day to day operations are carried out.

### Information Technology Redundancy

The technology facilities are hosted in two (2) different external data centers designed and operated to the highest technical standards (Tier IV certified data centers). These facilities are located far enough from each other to avoid the risk of localized events.

Both data centers and the different operations buildings are connected with high capacity and redundant network links. Each data center uses multiple high availability back-bones to connect to the Internet and the Swift network.

The phone switchboard is duplicated on both facilities with a hot-hot redundancy serving all phones of the operations sites through the network. Any number can be routed to the backup operations sites or to mobile phones.

These facilities host the technical equipment with an architecture having, to Fundsquare’s best knowledge, no single identified point of failure in infrastructure and connectivity at that time. The technical infrastructure is based on virtualization technology for the main servers and the storage implementation.



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Due to the virtualization capabilities of the technical infrastructure, any process can run on one or the other facility, limiting the down time in case of unavailability of one data center. Our main processes are running on both facilities (hot-hot), but can at any moment run seamlessly on only one of both facilities.

Recovery times for mission critical systems range between real-time recovery and 4 hours.

## Back-up operation sites

In the case of a major event impacting the operation building located Boulevard Joseph II in Luxembourg, operations can be hosted in one of two different backup buildings (cold sites) equipped with network access to the technology facilities, workstations, telephones, printers, fax, market data feeds and all other necessary equipment providing the same access to the technology facilities as on the primary operational sites. The hosted users will have access to their phone numbers and their personal workstation. All users use virtualized workstations running on the servers hosted in the technology facilities, for access they only need connectivity through the workstation from the backup-site. The advantage is that all users can access their workstations from multiple desks / offices or from remote if authorized.

The benefit of the separation of operations and technology facilities is that major events impacting infrastructure or operations are isolated and can be managed individually, as no event should affect more than one location simultaneously.

In case of a BCP pandemic scenario all users have the possibility, if authorized, to work remotely from home on their existing workstations with same phone number, only VPN connectivity with OTP (One Time Passwords) is required.

## Protection of primary operational sites

The primary operational sites are protected against many disasters to reduce risks.

The primary operational sites are designed to continue operations in the case of external power failure and all outside network / telecommunication connectivity are redundant, with backup equipment on site.

## Future Changes

The BCP/DRP will be adapted to integrate new business and client needs. The infrastructure is updated on a regular basis to meet new security and quality standards.



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## Disclaimer

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Although Fundsquare has implemented BCP/ DRP procedures and will make its best efforts to protect your best interests in case of disaster as described in the Present Note, Fundsquare cannot guarantee that Fundsquare services will be available at all times without any interruption, malfunction or disruption especially, without limitation, when events beyond Fundsquare’s or its provider’s control or force majeure events happen that may prevent, hinder or delay the release of the BCP/DRP.

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Luxembourg, 8/5/2019

Executive Management