



## PTC Cloud/SaaS Security and Support Document

This document is incorporated by reference into the PTC Cloud/SaaS Services Terms and Conditions. All capitalized terms used in this document are as defined in the PTC Cloud/SaaS Services Terms and Conditions.

### (1) **Security**

PTC uses reasonable industry measures designed to protect the operating environment of the Services and Hosted Software against unauthorized physical access and the threats of fire, power, temperature, humidity and other physical forces with the following capability:

- A secure data center with physical access limited to authorized personnel and protected by multi-level security systems. Other persons are admitted only on an as-needed and supervised basis (such as to maintain hardware components).
- Continuous, conditioned power supplied by a redundant power infrastructure, including battery backup systems and diesel-powered generators, with regular system testing for continuous availability.
- Redundant HVAC climate control and fire suppression systems.

### (2) **Additional Security Measures For Hosted Data**

In addition to the physical access protections described above:

- PTC maintains controls consistent with the ISO 27002 framework.
- The Hosted Data is maintained in secure directories that require access authentication.
- PTC performs daily backups of the Hosted Data in the production system. Hosted Data is stored offsite. Daily backups of the production system will be retained for at least three months.
- PTC maintains antivirus protection software on the Hosted System. In the event viruses, worms or similar problems are determined to have infected the Hosted System, PTC will use commercially reasonable efforts to restore the Hosted System as quickly as reasonably possible.

In order to enhance data security, Customer is responsible for:

- Ensuring it uses utmost discretion in granting administrator privileges.
- Ensuring that its Users do not share their passwords.
- Designing, authoring, validating, and approving all custom reports.
- Ensuring and maintaining security of its systems and the machines that connect to and use the Hosted System, including implementation of necessary patches and operating system updates.

The scope of the Services does not include any Customer security requirements beyond those set forth in the PTC Cloud/SaaS Services Terms and Conditions. Customer hereby agrees that it will not, and will not engage or authorize any third party to, perform any penetration testing of the Hosted System without obtaining PTC's prior written permission.

### (3) **Support**

- **Support Hours.** PTC's technical staff is available for support and troubleshooting by phone 24x7 for Severity 0 issues. For other issues, availability is Monday through Friday, 8:00 A.M. to 5:00 P.M. local time where Customer's Designated Technical Support Personnel is located, excluding public holidays and other PTC-observed holidays. E-mail inquiries and cases are accepted 24x7.
- **Designated Employees.** For SLM and ThingWorx products, two of Customer's Designated Technical Support Personnel shall be the only persons authorized to contact PTC via its support line in connection with Services. When PTC provides notification of scheduled outages, such Designated Technical Support Personnel shall promptly relay such notification in a timely manner to all of Customer's Users.
- **Support Process.** The support process begins when Customer notifies PTC's technical staff of an issue with which Customer requires assistance and opens a case. Customer will provide the following information in order to ensure the issue may be correctly and efficiently assessed and resolved: without limitation, the Customer name, case number and a detailed description of the issue. PTC shall assign a severity level to an issue upon initiation of the case based on the defined severity levels described below in this document. Target resolution times are set forth below. PTC shall determine, at its discretion, based on availability of staff and experience, whether to allocate Customer's case to a named individual. In order to ensure continuity of service and professional call handling, PTC shall use reasonable efforts not to reassign technical staff members once they have been assigned to resolving a particular problem.

- **Prioritization and Escalation.** PTC shall use commercially reasonable efforts to resolve each significant issue by providing a Workaround, an object code patch or a specific action plan for how PTC will address the issue, and an estimate of how long it will take for the issue to be resolved. “Workaround” means a change in the procedures followed or that Customer supplies to avoid a problem in the hosted environment without substantially impairing Customer’s use of the Hosted Software. A Workaround may be either temporary or permanent in nature.
- **New Releases.** Cloud Services support shall only apply if and for so long as Customer’s underlying licenses of the Hosted Software are current on PTC Support. Subject to the exclusions set forth below, Services will include installation of New Releases of the Hosted Software. In single-tenant environments, PTC will coordinate the installation of the New Releases with Customer to reasonably minimize disruption to Customer’s operations. Generally, PTC will not upgrade the Hosted Software to the FCS (first customer ship) version of a major New Release. It is Customer’s responsibility to test and validate their custom developed, created, or 3<sup>rd</sup> party applications in a test environment prior to moving them into production. This includes making any necessary modifications to those applications to be supported with the New Release. “New Release” means updates and/or new releases to the Hosted Software that PTC elects to apply to the Hosted Software. The entitlement to New Releases is not included with Cloud Services unless Customer’s underlying licenses are covered by a PTC Support services plan.
- **Maintenance Outage Delay.** Within 24 hours of PTC’s notice of a Maintenance outage, Customer may request in writing to PTC that such Maintenance outage be delayed due to extenuating Customer business needs; provided, that PTC shall not be required to delay any outage if such outage is required due to a security issue or to avoid the potential of an unplanned outage. In the event that PTC agrees to Customer’s request, such delay shall not exceed ten (10) business days.
- **Exclusions.** Services support does not include:
  - Support on Customer’s site;
  - Design, code development, break-fixes, or testing of integrations, customizations and/or modifications;
  - Third party software included in the Services;
  - Customer developed and/or owned applications;
  - Issues caused by material changes to the configuration of the Hosted Software by Customer;
  - Errors caused by Customer’s negligence or fault;
  - Consulting or training services; or
  - Responsibility for changes to or replacement of any Customer hardware that may be necessary to use the Hosted Software due to a Workaround, fix or Hosted Software New Release.

In addition to the above exclusions, where PTC is providing Cloud Services for licenses of the Hosted Software that Customer owns (as opposed to SaaS Services), the support for the underlying licenses must be purchased by Customer under the License Agreement. If such licenses are not on an active support contract, Customer will not be entitled to such Support under this Agreement.

- **Severity, Initial Response Times and Resolution Targets:** Case severity levels and associated initial response and estimated resolution times are as set forth below:

Severity Level	Definition	Initial Response	Target Resolution Time*
<b>Severity 0 Hosting Problem</b> (Note, Severity 0 problems cannot be communicated to PTC by email)	A problem in the Hosted System that causes substantial downtime of the Hosted System with no viable Workaround available. Generally requires 24X7 availability of Customer’s Designated Technical Support Personnel. PTC will work 24X7 until the issue is resolved or the Severity is lowered.	15 Minutes	2 Hours
<b>Severity 1 Hosting Problem</b> (Note, Severity 1 problems cannot be communicated to PTC by email)	A problem in the Hosted System that results in the loss of critical functions of the Hosted Software or a limited number of Users cannot access the Hosted Software via the Services.	2 Hours	4 Hours
<b>Severity 2 Hosting Problem</b>	A problem in the Hosted System that impacts Services operations and/or efficiency but Customer is still able to use the Hosted Software. A Workaround is generally available.	4 Hours	24 Hours
<b>Severity 3 Hosting Problem</b>	a technical question about the Services or the Hosted System that does not impact Customer’s use of the Hosted Software.	2 Business Days	5 Business Days

\* Target resolution times are measured from PTC’s initial response and reflect the target resolution times for hosting problems only, based on PTC using diligent efforts to return Customer to production status.