



# *Client Support Service*

**Version 1.1**

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## General

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### Overview

This document acts as a support services reference manual for clients. A semi-annual review of services, policies and procedures outlined will be conducted to ensure that revisions are posted in a timely manner.

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### Hours of operation

You may speak directly with a member of the Maxxar Software Support Team Monday through Friday from 8:30 a.m. to 5:30 p.m. Eastern Standard Time. Calls received outside of this time may be left in voicemail for a return call the following morning or critical issues may be escalated to a member of the team.

Please check Appendix A for extended support and/or after hours emergency support eligibility

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### Calling client support

You can reach our support team via one of the following channels

- Email [service@maxxar.com](mailto:service@maxxar.com)
- Via Phone 800-543-5753
- Via our support fax 248-675-1050

Please refer to appendix A regarding your product specific detailed contact information

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## General, Continued

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### **Escalation chain**

Our goal is to ensure that your support request is handled appropriately and in a timely manner.

In order to ensure a high level of customer service satisfaction, we offer an escalation process that allows you easy access to our Client Care management team in case additional assistance is needed.

Please refer to Appendix A regarding your product escalation contact.

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### **Account management**

Your Account Manager is responsible for maintaining our business relationship. The primary goal of your account manager will be to assess your organization's dynamic business needs and bring solutions that address them. Furthermore, your account manager will serve as the central point of contact between Maxxar Inc. and your institution, and will work to ensure that your organization is making the best possible use of all our products, services and resources.

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### **Supported release versions**

Product support is available for the most recent released version of the Maxxar software product suite and the prior version of the product.

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### **Software upgrade**

The latest software upgrades for Maxxar's product lines are available for download on the Maxxar download center (see Appendix A). Clients are responsible for upgrading their software system, or can utilize the Maxxar Professional Services group (a fee based service).

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### **Financial institution Contact**

All financial institutions should submit an email group (example: [ecb@FI.com](mailto:ecb@FI.com)) to facilitate timely notification of Maxxar communications and release upgrades. All changes to contact information should be promptly reported through the Maxxar Support Team.

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# Security & Privacy

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## Overview

The purpose of this section is to provide information dealing with the following Security and Privacy topics.

- Location of Security/Privacy Articles
  - Gramm-Leach Bliley Act
  - Data Encryption
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## Security and privacy updates

Security and Privacy updates can be found on our online Download Center. Please check the security section for newly posted articles regarding issues that may affect your financial institution. Please refer to Appendix A for your Download Center access information.

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## Security & Privacy, Continued

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### Gramm-Leach Bliley

Maxxar's software license and servicing agreements have client information privacy provisions included to comply with the requirements of the Gramm-Leach Bliley-Banking Modernization Act of 1999. These provisions require Maxxar to use “commercially reasonable efforts” to protect our client’s customer data (i.e. non-public personal information) while in our possession. This includes all media forms of information (digital, hardcopy and email) that contain any of the following data values as no-public personal information:

1. Account numbers
2. A person’s surname that exists in combination with item 1, 5, 9 or 10
3. A street address of customer that exists in combination with item 1, 5, 9 or 10
4. A city, state or ZIP code of customer in combination with item 1, 5, 9 or 10
5. All Federal tax-ID numbers (SSN or EIN)
6. A date of birth that exists in combination with item 1, 2, 3 or 4
7. All telephone numbers
8. All email addresses
9. All graphic files or binary objects containing drivers license or signature images
10. All third-party account numbers (e.g. credit card, debit card and ATM card PAN’s)

Maxxar Information Privacy policies require that financial institutions forward all data containing non-public personal information (see above) in an encrypted file format using either Power Archiver (8.5 or later) or WinZip (version 9 or later) with 256-bit AES encryption mode. In the future, please use these tools to encrypt and password protect customer data prior to sending it to the Implementation or Client Support groups for troubleshooting. This includes data that may be transmitted using the Maxxar FTP site. All financial institutions should develop a password convention that can be communicated to Maxxar support staff on a periodic basis. *Please do not submit non-public data through email.* Questions concerning the use of WinZip and Power Archiver tools should be directed to the financial institutions’ internal IT staff.

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## Security & Privacy, Continued

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### **Data encryption**

Financial institutions are required to forward all data containing non-public personal information using encryption software. Power Archiver (8.5 or later) and Winzip (version 9 or later) using 256-bit AES encryption option are approved for this purpose. In the future, please use these tools to encrypt and password protect customer data prior to sending it to the Implementation or Client Support groups for troubleshooting. All financial institutions should develop a password convention that can be communicated to Maxxar support staff on a periodic basis. *Please do not submit non-public data through email.* Questions concerning the use of Winzip and Power Archiver tools should be directed to the financial institutions' internal IT staff.

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## Service Levels

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### Summary

Our goal is to respond to every case opened the same day it is received. However, there are times when it is necessary to prioritize our workload. To assist us in prioritizing requests, please rate all issues upon opening on a scale of 1 to 5; with 1 signifying the highest priority. The purpose of this section is to outline client responsibilities, priority ratings and expected response time.

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### Priority 1

Priority 1 Issues are critical processing issues that require immediate attention. Examples would be: a fix or a work around must be made immediately or the institution will suffer; a business critical issue that would have a serious impact on customer account balances affecting many accounts.

Response Time: the support team will contact the client **within 30 minutes** of receipt of the issue to evaluate the scope of the problem. Maxxar Support will update the client every hour until the issue has been resolved. This would apply only if the issue is reported during regular customer support hours by phone.

Note: A priority 1 Issue that has an acceptable work around will be reprioritized into a Priority 2 category.

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### Priority 2

Priority 2 Issues have a financial impact or jeopardize customer relations. Business critical issues with acceptable work around.

Response Time: A member of the Maxxar Support team will respond **the same business day** that the issue was received to evaluate the scope of the problem.

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## Service Level, Continued

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### Priority 3

Priority 3 Issues that have a cumbersome manual workaround; affect a limited number of accounts; or have a specific deadline.

- Printing Issues
- Individual user sign on issues

Response time: A member of the Maxxar Support team will respond **within one (1) business day** after receiving the issue to evaluate the scope of the problem.

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### Priority 4

Priority 4 Issues may or may not have a workaround and have limited impact on the institution's day-to-day operation:

- Non-critical reports with inaccurate data that can be obtained through other methods
- Administrator change requests
- General product-related questions.

Response time: A member of the Maxxar Support team will respond **within two (2) business days** after receiving the issue to evaluate the scope of the problem.

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### Priority 5

Priority 5 Issues are low impact issues:

- Questions about new processes
- Enhancement requests
- Scheduling of release upgrades and system updates
- Requests for custom programming

Response Time: A member of the Maxxar Support team will respond **within two (2) business days** after receiving the issue to evaluate the scope of the problem.

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## Service Levels, Continued

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### **Regulatory issues**

Defects and Enhancements that are classified as federal regulatory compliance related will follow the SLA track of ‘bugs’ and be forwarded to Product Quality & Support. Cases received that require clarification will be discussed with the Compliance Committee for action.

1. Issues dealing with current processing will be treated as Priority 1 items.
2. Issues relating to new/changes to federal regulations will be treated as Priority 2 items.

Note: Clients reporting these changes may be asked to provide the regulatory bulletin highlighting the change.

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### **Response tracking**

Maxxar response time is tracked from the time we receive the initial supporting documentation. When an issue is analyzed, it may be necessary to adjust the priority in accordance with the above referenced guidelines. The assigned analyst will notify the requesting institution of all changes in priority. Response time for lower-priority issues may be longer during peak periods.

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### **Hardware Support**

Hardware support will be provided only for hardware that was purchased through Maxxar. The term and limitation for hardware support are covered in detail in your Maintenance Agreement Contract.

# Client Responsibilities

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## Overview

The purpose of this section is to outline information that is required from a financial institution in order to process cases for resolution in the following areas:

- Designated Contacts
  - Reporting Issues
  - Documentation
  - Issue Description
  - Closing Cases
  - Remote Access Support
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## Designated contacts

Each institution designates a primary and secondary contact who is authorized to contact the Support Team.

The name, title, email address, phone number, extension and fax number of authorized individuals should be forwarded through your client care manager (see Appendix 1 )

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## Reporting issues

Prior to submitting an issue to Maxxar Support, please review all documentation that may pertain to the functionality. A partial list follows:

- Release manuals
  - System Updates Instructions
  - User Guides
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## Client Responsibilities, Continued

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**Documentation** Documentation is required for all reported cases. Whenever possible, provide supporting documentation at the same time the case is opened. Documents can be emailed to your support email address. Cases submitted without appropriate documentation are placed in a **Hold** status pending receipt. If documentation is not received within 5 business days, the case may be closed. Closed cases may be re-opened upon receipt of documentation.

The process of analyzing and troubleshooting issues may require additional clarification or information.

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## Client Responsibilities, Continued

### Issue description

Describe the issue in as much detail as possible. Provide basic information with the reporting of each case using the following guideline.

| Topic     | Detail  |
|-----------|---|
| System    | <ul style="list-style-type: none"> <li>• Release Version</li> <li>• If online, are any problems being experienced at the host or network level?</li> <li>• Have recent changes to the product or the host system occurred? What updates were applied?</li> <li>• Have there been maintenance/upgrades to hardware?</li> <li>• Is time of day a factor?</li> </ul> |
| Frequency | <ul style="list-style-type: none"> <li>• Is the issue an isolated incident or can it be recreated across all users/accounts</li> </ul>  |
| User      | <ul style="list-style-type: none"> <li>• Provide Sign-On ID, Account Numbers and any other specific details that may be helpful.</li> </ul>   |
| Errors    | <ul style="list-style-type: none"> <li>• Identify the specific steps that generated the error.</li> <li>• Provide page prints of the error message received.</li> </ul>   |

### Closing issues following updates

Financial institutions should promptly validate resolutions and fixes following distribution by way of email, installation or system update and provide feedback that the solution is working as expected. It is our policy to close cases five (5) business days from the date a resolution, fix or update is distributed.

### Remote Access Support

As a part of the case investigation to expedite case resolutions and provide the most efficient customer service, the Maxxar support analyst may request remote access into the client production or testing environment where the reported issue is evident.

This may include access to application displays, application files, folders and database.

The remote access process will be conducted via a secured Internet channel and will be authorized by the client. Any changes or modification that will be suggested by Maxxar Support, will be consulted and confirmed with the client prior to any change made.

**Failing to provide remote access to the Maxxars Support analyst, may results in delays or an inability to provide appropriate support services.**

## **Inquiry / Case Updates**

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### **Inquiry**

Each reported case is assigned a case number. Please reference the case number when contacting Maxxar Support for updates.

### **Updates**

Maxxar Support will contact you via email or phone if the status of a case changes or if more information is needed.

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### **Support Exclusions**

The following are excluded from the Maxxar Support services:

- Hardware not directly purchased via Maxxar
- Client's IT systems and environments not directly implemented by Maxxar
- Software or hardware application configuration changes not done directly by Maxxar
- Third-party software systems not directly implemented by Maxxar
- Any changes or modifications to the software or hardware done by any party not authorized by Maxxar

# Regulatory Compliance

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## Overview

A Regulatory Compliance Committee representing our clients and an internal Compliance Committee for the Maxxar product are in place to ensure system compliance with all regulations issued through the Federal reporting agencies (i.e. FDIC, FRB, OCC, OTS, NCUA); IRS and NACHA rules; and the Fair Credit Reporting Act.

The internal compliance group does not review or support state regulations or other non-banking laws and regulations.

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## Roles and responsibilities

Roles and responsibilities of the internal compliance group are as follows:

- Stay abreast of new/changed regulations – define impact on overall system
  - Attend seminars pertinent to regulatory requirements
  - Ensures regulatory changes are input into the development process and meet regulatory timelines
  - Communicate regulatory changes impacting the system throughout the organization
- 

## Maxxar participation

The Maxxar Product Manager serves on both committees and is responsible for:

- assisting the Compliance Coordinator with new regulatory changes;
  - notifying clients of regulatory enhancements on a release schedule; and
  - coordinating focus groups on regulatory compliant topics.
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## Regulatory Compliance, Continued

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### Reporting issues

The process for reporting regulatory issues is as follows:

- All product defects or enhancements that are classified as federally compliant will follow the SLA track of ‘bugs’ and are forwarded to Product Support.
  - Issues received that require clarification will be discussed with the Compliance Committee for action.
  - Issues with current processing will be treated as Priority 1.
  - Issues that are new/changes to federal regulations will be treated as priority 2.
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### Notices

The internal Compliance Committee will provide internal and external notices relating to new/changed regulations. Sub-committees will be created as needed to focus on specific regulatory items. Representatives from other areas of the company may be required to participate.

***Note: The internal Compliance Committee is not responsible for providing advice on compliance topics to clients.***

## Enhancement Delivery Options

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### Overview

The purpose of this section is to outline Enhancement Delivery Options available for the completion of enhancements to the product. Each Enhancement Delivery Option is focused on responding to client business needs within required delivery timelines and cost parameters. The table below defines several alternatives available to clients for obtaining enhancements from Maxxar.

| <b>Delivery Option</b>                           | <b>Description</b>  |
|--|---|
| Priority Voting Process                          | Product Management assigns the Enhancement Request to the Voting Queue for inclusion in the next instance of Maxxar Users Group Voting.   |
| Custom Programming through Professional Services | The requesting client may solely fund the development of the requested enhancement. This method lets the requesting client design the enhancement specific to their institution's need.     |
| Joint Application Development (JAD) Projects     | The institution requesting the enhancement is willing to allow other institutions to participate in the functionality being developed and is interested in sharing the cost of development. |

### Priority Voting Process

Cases opened that are not considered fixes may be assigned to the Voting Queue for prioritization by the Maxxar product Users Group. The Maxxar Executive Committee manages and publishes the voting process rules and procedures. Voting is scheduled annually to ensure that high priority items are considered for inclusion in the next major release of the product. The Priority Voting Process does not guarantee that projects will be developed or that license and maintenance fees will not be assessed as part of the enhancement delivered.

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## Enhancement Delivery Options, Continued

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**Professional  
Services  
Custom  
Programming**

Custom Programming through Open Solutions' Professional Services is an option that accommodates the development of enhancements that are unique to a specific institution or that must be delivered within a strict timeframe. Business Requirements must accompany requests for Custom Programming through Professional Services. Assistance with writing Business Requirements is available at the then published Professional Services hourly rate. Custom Programming through Professional Services requests will be reviewed within 5 days of receipt of the Business Requirements and a cost estimate will be provided to the client. Due to the volume of requests for Professional Services cost estimates, a \$250 one-time fee will be assessed for each estimate requested. The \$250 will be credited towards completion of the custom development project if an order is placed within 30 days of date the estimate is provided.

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**Joint  
Application  
Development  
(JAD)**

Joint Application Development (JAD) projects provide an alternative for clients wanting to expedite the development of a project while sharing the costs with other clients. JAD projects also contribute to the quality of the delivered product since they solicit multiple opinions regarding the specifications of the functionality being added or augmented and accommodate multiple testing environments through the Beta process.

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# Joint Application Development (JAD)

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## Overview

Clients may request Joint Application Development (JAD) projects through Maxxar Support. The Maxxar Support team will refer the request to Account Management. Account Management will coordinate the creation of the JAD and assist in the management of the project through the first stage of the four-stage process. The four stages of a JAD are:

1. Create the JAD
  2. Develop the Product Enhancement
  3. Beta Test the Product Enhancement
  4. Commercialize the Product Enhancement
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## Create the JAD

Account Management will perform the following tasks in conjunction with Product Management and Development to create the JAD:

| Step | Action   |
|------|--|
| 1    | <b>Obtain Development Estimate based on initial Business Requirements</b> – the estimate provided at this stage establishes the cost range that a client can expect should they choose to participate. This estimate will generally be provided within 10 business days after receipt of the initial Business Requirements.                                  |
| 2    | <b>Coordinate the Finalization of Business Requirements</b> – the Business Requirements will be reviewed, discussed and augmented by the JAD participants with direct input from Maxxar Product Management. The participants will agree upon a timeline for the completion of the requirements.  |
| 3    | <b>Obtain Final Cost Estimate and Statement of Work based on Business Requirements</b> – refine the cost estimates and delivery timeline based on the Statement of Work provided by Maxxar Development. The Final Cost Estimate and Statement of Work will generally be delivered within 15 business days of the receipt of the final Business Requirements. |
| 4    | <b>Finalize Participant Cost and Project Deliverables</b> – distribute development costs based on participant contribution percentages; initiate SPOs; provide final version of Business Requirements and communicate delivery timeline.   |

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## Joint Application Development (JAD), Continued

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**JAD acceptance** Acceptance of the JAD quote is made via submission of a signed SPO with Remittance. There will be an open enrollment period for submission of signed SPOs and payment. If at the end of the open enrollment period, sufficient funds have been received to cover the development expenses, the JAD will be officially created. If there is insufficient interest to cover the cost of development, those clients who signed SPOs will be contacted to determine if they are willing to commit to a higher level of funding. If not, the JAD will be cancelled. If the interested participants approve a higher level of funding, the JAD will be officially created, and work will begin at an agreed upon time following receipt of signed SPOs and Remittance.

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**Development** Once a JAD has been created, Professional Services will code the product to comply with the Business Requirements agreed upon by the JAD participants. Product Management will work with Professional Services to resolve any issues or answer any questions that arise as development progresses. Depending on the size of the project, periodic updates and reviews may be required. Professional Services will work directly with Quality Assurance to coordinate testing and deployment of the Beta product.

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**Beta testing** JAD participants are expected to assist in the testing of the Product Enhancement. Beta volunteers will be solicited from the JAD participants by Quality Assurance to ensure that the correct environment for Beta exists and to ensure that Beta responsibilities are agreed upon. All support for Beta testing will be remote. Quality assurance will work with the Software Business Analysts to develop product release documentation during the Beta testing period.

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**Commercialize** Once delivered to the JAD participants, Product Management will, if appropriate, assume responsibility for commercializing the offering. Commercialization of a product includes establishing the following:

- Add the Product to the Price Book
- Create Marketing Materials
- Create White Papers
- Communicate the Availability of the Product
- Provide Product Training

## Appendix A – Product Support Scope Information - Maxxar

This is your product-related scope of support information

### Calling client support

Email: [service@maxxar.com](mailto:service@maxxar.com)

The Maxxar Client Care team can be reached at:

- Direct Phone 800-543-5753
- Fax: 248-675-1050

If all representatives are busy, calls are directed to a voicemail message queue. *Note: Callers have the option to bypass listening to the recording of instructions by pressing “#.”*

Call volume to Support staff is measured through the 800-support number. This information is very important and allows us to perform volume tracking so that we can plan staffing levels accordingly. You can assist by directing calls to the Support Department at 800-543-5753 rather than calling individual extensions for support assistance.

### After Hours Assistance

Clients requiring **Emergency** after hours support will be prompted for their Maxxar customer number when calling Maxxar’s toll free number 800-543-5753. This will direct you to a voicemail box that will page an on-call Maxxar client care analyst. Please leave your name, institution, phone number and detailed description of how we can assist you.

**Note: Emergency Support issues status are saved for Priority 1 issues only. Issues reported after hours that are NOT deemed Priority 1 Issues, will be billed at a rate of \$250 per hour (1 hour minimum).**

### Escalation chain

The escalation process for all client requests is as follows:

1. The Maxxar Client Care team 800-543-5753
2. Pete Banko at 248-675-1040 ext 217 (Team Leader, Support) [pbanko@maxxar.com](mailto:pbanko@maxxar.com) (Cell 248-563-2507)
3. Oded Shoshany at (Vice President, Client Care) [oshoshany@maxxar.com](mailto:oshoshany@maxxar.com) (Cell phone 1-203-994-4807)

### Download Center

<ftp://ftp.maxxar.com>

