

PROOFPOINT ESSENTIALS

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APPENDIX 1 TO THE STANDARD CONTRACTUAL CLAUSES

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1. **Data exporter**

The data exporter is **Customer's affiliated European companies**

The Proofpoint Essentials protection service ("Security Services") protect Customer and its Affiliates from unwanted email that may pose a threat to compromise the Customer's corporate IT systems, corporate data or Personal Data (and the privacy rights of the data subjects themselves). These SCCs and the Services do not cover email data that is outside of Customer's corporate email systems, for example, third party email or webmail exchanges on which individuals set up personal email accounts. The data exporter must provide standing instructions to internet email domain name servers to route internet email of Customer and its Affiliates to the Proofpoint Security Services.

2. **Data importer**

The data importer is **Proofpoint, Inc.**

Data importer provides its on-demand Security Services from its paired US-based datacenters and/or its paired Germany and Netherlands datacenters, at the election of the Customer and its Affiliates.

3. **Data subjects**

To the extent there is Personal Data within email sent to data exporter's corporate email systems via the Internet, then the following categories of data subjects may apply: data exporter's end-users including employees, contractors, and customers.

4. **Categories of data**

To the extent there is Personal Data within email sent to data exporter's corporate email systems via the Internet, then the following categories of data may apply: e-mail, email metadata and attached documents.

5. **Processing operations**

Mailflow Processes

- Inbound email flow
 - Typically all data exporter actions are undertaken by the Customer entity that is managing the data exporter's email infrastructure. Data exporter updates its MX records to provide standing instructions to the email DNS so that when external parties send email intended for data exporter's corporate email domain, it is first routed directly to data importer's Security Services for scanning, filtering and URL rewriting, and routing in transit. Provided that the external third-party sending

email system supports TLS, data exporter may elect to enable TLS for all inbound email traffic providing encryption of email in transit. Data exporter may also enable TLS for all email routed to its on-premise email servers from the Security Services. Data exporter may also implement forced TLS rules for a manually maintained list of external sending email domains. Data exporter configures the duration of the temporary quarantine for suspicious (unwanted) emails to be available for manual review by the intended message recipient or data importer's email support staff. After scanning, filtering and URL rewriting, wanted email is routed to data exporter's on-premises email servers.

- Outbound email flow
 - Typically all data exporter actions are undertaken by the Customer entity that is managing the data exporter's email infrastructure. Data exporter may enable TLS for outbound email routed from its on-premise email servers to the Security Services. Data exporter may implement forced TLS rules for a manually maintained list of external receiving email domains. Data Exporter may further enable opportunistic TLS for the remaining outbound email routed from the Security Services to the intended recipient email domain, provided that the external third-party receiving email system supports TLS.
- Data Importer's configuration, management and support functions
 - Data importer provides all necessary infrastructure, set-up configuration and support services required to offer the Security Services. Typically all data exporter actions are undertaken by the Customer entity that is managing the data exporter's email infrastructure. Data exporter is responsible for configuring, administering and managing the rule and policy-related functions of the Security Services and for managing all aspects of its own email infrastructure. Data exporter creates support tickets to receive technical support from data importer's email support staff.

6. **Correction, deletion and blockings of data**

Data importer may only correct, delete or block the data processed on behalf of the data exporter when instructed to do so by the data exporter. However, given that email is in transit through the Security Services, it is not possible to correct email and associated content that might include Personal Data.

7. **Data exporter's right to issue instructions**

The Services Agreement between the data exporter and the data importer are the instructions for the data processing. Data exporter may provide any additional instructions in writing to data importer via amendment or via the data importer's technical support portal.

Data importer shall not use Personal Data for any other purpose except as permitted by the Services Agreement and the normal operation of the Security Services, which includes the temporary creation of copies and duplicates required to assure proper functioning of the Security Services, or any copies or duplicates required to comply with statutory or other required retention rules. Data from suspicious and unwanted emails, including email, URL and attachment metadata (which may include Personal Data), may be stored for analysis for up to 120 days from the point of initial transit through the Services or in perpetuity, depending on the nature of the suspicious or threatening characteristic. All other data (such as Customer email policies and rules, quarantined emails, and non-malicious emails in route to Customer's email exchange) will be deleted within a reasonable period of time after termination.

Data importer shall inform the data exporter promptly upon reasonable belief that there has been an infringement of an applicable statutory data protection provision. Data importer may postpone the execution of the relevant data exporter instruction until it is confirmed or changed by the data importer's representative.

Data exporter shall pay for data importer costs and expenses for any audit under Model Clause Section 5 Obligations of the Data Importer, provided however, in the event that data exporter pays data importer annual Services subscription fees of more than USD 250,000, then data exporter and data importer shall each pay for its own costs and expenses for any audit under Model Clause Section 5 Obligations of the data.

APPENDIX 2 TO THE STANDARD CONTRACTUAL CLAUSES

Description of the technical and organisational security measures implemented by the data importer in accordance with Clauses 4(d) and 5(c) (or document/legislation attached):

Summary of Proofpoint Internal Processes

A. Summary

This document summarizes the processes and procedures that Data Importer implements in conjunction with the provision of the Security Services. Additionally, this document includes the relevant controls evaluated on an annual basis by an independent auditor as part of Data Importer’s ongoing SSAE 16 audit, or similar audit standard that Data Importer may adopt from time to time at its discretion.

B. Control Group

Identification and authentication of the user

There are two classes of users that interact with the Security Services:

Data Exporter end-users: Data Exporter administrative users and email recipients potentially may access personal data by viewing the Security Services quarantine through a web-browser based user interface. Data Exporter may elect to integrate its Active Directory with the Security Services to provide its administrators with the ability to grant or revoke access to the quarantine. Data Importer also has the ability to grant or revoke access for data exporter end users to the quarantine.

Data Importer users: Centralized authentication and logging is used to ensure that only approved Data Importer personnel have access to the Data Importer data centers and the Security Services infrastructure, including the quarantine and certain back-end services that analyze suspicious and unwanted email contents, metadata and attachments. All members of the Security Operations team receive specific training in the administration of the Security Services, in addition to annual Security Awareness training.

Data Importer Controls

Management has established and approved an information security policy.
A framework of security standards has been developed, which supports the objectives of the security policy.
Procedures exist for and to ensure adherence to, authenticating and authorizing users to systems.
Procedures exist for and to ensure adherence to policies for requesting, establishing, issuing, suspending, deleting, and closing user accounts and associated access privileges, e.g. system access is granted based upon position, job function, and manager approval.
A process is in place to monitor failed login attempts. Identified security violations are resolved.
Access to the Data Importer production environment by employees is based on business need.
Controls are in place to restrict implementation of changes to production only to authorized individuals.

Type of access

The various types of Data Exporter end user access are documented in the Administrator Guide and are controlled by Data Exporter administrators through Active Directory. End user access can also be added importing CSV files or manually entering through the user interface.

C. Collection of data

Inbound email to the Data Exporter is filtered in memory by the Security Services. In this instance, email destined for email domains configured by Data Exporter to point to the Security Services are received at the Data Importer Production data centers, scanned and filtered in memory, and forwarded to the Data Exporter email infrastructure, unless directed to the Email Quarantine in the Data Importer Production data centers based on Email Filters and Policies configured by Data Exporter.

Data Importer Controls

All email processed through the Security Services is stored for 30 days, and then automatically deleted at the end of the 30 day period.

D. Execution of backup copies

Data Exporter configuration data and logs necessary to recover from certain disaster scenarios are backed up on a regular basis and stored on spinning disk.

Data Importer Controls

Procedures for backup and retention of data and programs have been documented and implemented.
Data and programs are backed up regularly and replicated between geographically diverse data centers.

E. Computers and access terminals

Computers used by Data Importer employees to access the Data Importer infrastructure are required to use a secure VPN tunnel to access the Data Importer data centers. All computers are required to run up to date anti-virus software and policies and procedures exist to restrict software that may be installed on these machines. All Data Importer employees are required to authenticate to a centralized authentication system in order to access the Data Importer corporate and production networks.

Data Importer Controls

New employees are required to sign a non-disclosure agreement relating to proprietary software and confidentiality of information relating to customers.
New employees also receive a copy of Data Importer's information security policy, which they are required to acknowledge receipt of.
Access to the Data Importer production environment by employees is authorized by the Director of operations and the relevant department head, and is based on business need. A two-factor authenticated VPN is utilized.

F. Access logs

In relation to the Security Services, access logs take at least two different forms:

The first relates to access by Data Exporter end-users to the Data Exporter Quarantine through the hosted Data Exporter End-user Interface in the Data Importer Production data centers. Access logs for Data Exporter end-

users consist of Security Service-generated security logs that contain access information and are available only to Data Exporter Administrators. The second type of access logs are for the physical and logical access to Data Importer production systems by Data Importer employees. Physical access logs for all Data Importer data centers are retained for a minimum of 90 days and reviewed on a monthly basis by the Security Operations group. As well, all access attempts to Data Importer computer systems are centrally logged and unusual activity is automatically reported to Data Importer Security Operations group. In addition, Data Importer enforces account lockout policies, password complexity requirements, and password age requirements.

Data Importer Controls

Procedures exist for and to ensure adherence to, authenticating and authorizing users to systems.
A control process exists and is followed to periodically review and confirm access privileges remain authorized and appropriate.
A process is in place to monitor failed login attempts. Identified security violations are investigated and resolved.
Application event data are retained to provide chronological information and logs to enable the review, examination, reconstruction of systems and data processing and application events.

G. Telecommunication systems

All Data Importer production data centers have redundant internet feeds from diverse bandwidth providers. Data Importer controls all routing for our internet-bound traffic and can balance dynamically across these providers.

H. Instruction of personnel

All Data Importer personnel are required to complete an annual Security and Awareness training program offered online through a third-party training organization. In addition, members of the Data Importer Security Operations team receive on-going training specific to their roles. This training may be provided by vendors or other third-party organizations.

Data Importer Controls

Data Importer has an organization plan, which separates incompatible roles and duties of relevant personnel.
Separate management roles and responsibilities have been designed to segregate the roles of computer operations, system development, and maintenance and general Data Importer corporate functions.
Personnel roles and responsibilities are clearly defined.

I. Use of computers

Access to Data Importer production networks is restricted to systems running Data Importer-approved and managed anti-virus software. As well, all Data Importer computer systems are managed by a centralized authentication system. All Data Importer employees are made aware of Data Importer acceptable use policies for Data Importer computers, internet access and email communications. Data Importer employees must acknowledge these policies and sign a document stating they agree to abide by them.

Data Importer Controls

New employees are required to sign a non-disclosure agreement relating to proprietary software and confidentiality of information relating to customers.
New employees also receive a copy of Data Importer's Employee Handbook.

J. Printing of data

Data Exporter data is processed in memory and is not available for printing. In addition, there are no printers available within the Data Importer production data centers and all print services are disabled by default on all production servers.

Data Importer Controls

New employees are required to sign a non-disclosure agreement relating to proprietary software and confidentiality of information relating to customers.
New employees also receive a copy of Data Importer's Employee Handbook.

K. Physical Access Control

Data Importer Controls

Data Importer maintains controls over physical access to the Data Importer Production Environment in the following manner:

1. Access is only granted to Data Importer employees whose role requires it
2. Access is granted via a secure administrative portal hosted by the co-location provider
3. Swipe cards and biometric authentication is required for access to the co-location facility
4. Swipe cards are required for access to the dedicated Data Importer cage.
5. Access logs are reviewed by Data Importer monthly.
6. Access lists are reviewed by Data Importer quarterly.
7. Access is disabled upon role reassignment or termination
8. Access badges are collected upon role reassignment or termination

L. Physical Security Measures for Data Centers

Country	Address	Personal Data processed	Approved Services for this location
USA	Santa Clara, CA	email data	Proofpoint Essentials
USA	Atlanta, GA	email data	Proofpoint Essentials
Germany	Frankfurt	email data	Proofpoint Essentials
Netherlands	Amsterdam	email data	Proofpoint Essentials
USA	Riverton, Utah	Email data	Proofpoint Essentials

Data Importer Controls

The co-location facilities utilized by Data Importer are considered Tier-3 facilities and include the following:

1. 24x7 on-site security
2. 24x7 on-site and remote facilities monitoring

3. Single point of access
4. Swipe cards and biometrics required for access
5. 'Man Traps' in place
6. Cameras at all entrances and exits.
7. Fences, gates and barriers are in place.
8. Locked shipping docks with no direct access to data center floor.
9. VESDA-type smoke detection
10. Dual-action dry-pipe fire suppression system
11. Redundant power, including battery UPS and on-site generators
12. Redundant environmental controls in N+1 configuration

M. Access control to IT systems

Data Importer Controls

Data Importer controls access to systems providing Security Services in the following ways:

1. All Data Importer employees and contractors are provided with unique userIDs. Account sharing is not permitted.
2. Password requirements are defined and enforced by a password synchronization tool. Requirements include:
 - a. Minimum of 12 characters
 - b. Complexity rules (3 of 4 – upper, lower, numbers, special characters)
 - c. History of 23
 - d. Required to change every 60 days
 - e. Account locked out after five (5) failed login attempts
3. Logical access is granted based on role.
 - a. Only members of the Operations group are granted privileged access to the Data Importer Production Environment.
4. Audit logging is in place on the VPN to the Data Importer Production Environment.
5. Audit logs are monitored in near real-time by a log aggregation and alerting tool. Alerts are configured to be sent to the Data Importer Security Operations group.
6. Data Exporter is provided with the option of enabling encryption for email data at rest in the Email Quarantine.
7. Data Exporter is provided with the option of enabling encryption for email data in transit between the Security Services and the Data Exporter email infrastructure.

N. Access control to data

Data Importer Controls

Data Exporter data is not permitted to reside in the Data Importer Corporate Environment. Access to systems filtering Data Exporter email data are controlled in the following ways:

1. Access is based on role at Data Importer.

2. Only the Data Importer Operations group is permitted to have privileged access to the Data Importer Production Environment.
 3. Privileged access lists are reviewed monthly.
- O. Audit logging is in place on the VPN and on systems in the Data Importer Production Environment.
- P. ***Implement least privilege access control***

Data Importer Controls

Access to the Data Importer Production Environment is granted based on role. Only members of the Data Importer Security Operations group are granted privileged access to the Production Environment. Privileged access is reviewed monthly to ensure it remains appropriate.

- Q. ***Security while transferring and processing***

Data Importer Controls

Data Importer does not permit Data Exporter email data to reside in the Data Importer Corporate Environment, where Data Importer employees and contractors reside. The Data Importer Production Environment is logically and physically segregated from the Data Importer Corporate Environment:

1. Access to the Data Importer Production Environment is via a two-factor authenticated VPN and is only provided to Data Importer employees and contractors whose role requires access.
2. Industry-standard firewalls are in place and configured to only permit traffic on ports necessary for the functioning of the Service with all others denied by default.
3. Network-based IDS is configured to monitor traffic inbound from and outbound to the Internet. Alerts are configured to be sent to the Data Importer Security Operations group.
4. All intra-Service communications are encrypted using TLS.
5. All Administrator and End-User access to the Security Services hosted web interfaces is encrypted using TLS.

System Access Controls

1. LDAP is used to manage access.
2. Privileged access is only granted to members of the Data Importer Security Operations group.

Endpoint Security

1. Industry-standard firewalls are in place and configured to only permit traffic on ports necessary for the functioning of the Service with all others denied by default.
2. Network-based IDS is configured to monitor traffic inbound from and outbound to the Internet. Alerts are configured to be sent to the Data Importer Security Operations group.

Server Security

1. Operating systems are patched.
2. Unnecessary services are disabled.
3. Default passwords are changed.

- R. ***Security while transmitting data over public networks***

Data Importer Controls

1. Data Exporter may elect to enable TLS for the encryption of Data Exporter email between the Security Services and the Data Exporter email infrastructure.
2. All intra- Security Services communications are encrypted using TLS.
3. All Administrative and End-User access by Data Exporter to the Security Services is encrypted using TLS.

S. *Implementation and Operations phase controls*

Data Importer Controls

The functionality provided by the Security Services is performed automatically and does not require human intervention, except in order to troubleshoot issues with the Security Services. The Security Services are designed to function as described in the Services Agreement. Monitoring is in place to ensure that the Services are functioning with regards to the eTRUST principles Performance, Capacity, Availability and Security.

T. *Monitoring and Testing phase controls*

Data Importer Controls

The functionality provided by Security Services is performed automatically and does not require human intervention, except in order to troubleshoot issues with the Security Services. The Security Services filters email directed at the Security Services by the Data Exporter. Filtering is performed in compliance with Data Exporter-configured Rules, Policies and Filters. Data Exporter email data is not changed as part of the Security Services.

U. *Traceability of any access, change and deletion*

Data Importer Controls

Access to systems filtering Data Exporter email data are controlled in the following ways:

1. Access is based on role at Data Importer.
2. Only the Data Importer Security Operations group is permitted to have privileged access to the Data Importer Production Environment.
3. Privileged access lists are reviewed monthly.
4. Audit logging is in place on the VPN and on systems in the Data Importer Production Environment.

The Security Service controls access in the following way:

1. Administrative access to the Administrator Web Interface by Data Exporter administrators is granted by Data Importer at the request of Data Exporter or by the Data Exporter itself.
2. End-User access to the End-User Web Interface is granted by Data Exporter and the End-User creates a password for the End-User's login authentication. The Data Exporter's administrator can change the End-User password.
3. The Security Services generate Application Logs that include Administrator and End-User access and include the following:
 - a. Successful/Failed login attempts
 - b. Date
 - c. Time
 - d. Source IP
 - e. userID

V. *Ensuring Compliant Data Processing*

Data Importer Controls

Data Importer personnel do not manually process Data Exporter data. All Data Exporter email data is automatically filtered by the Security Services, as described in the Security Services documentation.

W. *Ensuring Availability*

Data Importer Controls

The Security Services are architected to ensure Availability in-line with published Data Importer's SLA's (www.proofpoint.com/us/license). This is accomplished in the following way:

1. The Security Services are configured to run in primary/alternate roles between a pair of geographically-diverse data centers. The data center roles can be changed on demand.
2. Infrastructure in each data center is configured in high-availability mode, including dual power feeds and a minimum of two diverse network connections.
3. Data centers are a minimum of Tier-3 with redundant power and redundant environmental controls.
4. Data centers have on-site generators with a minimum of three (3) day fuel supply.
5. Data Exporter Configuration Data is backed up daily for Disaster Recovery purposes.
6. A documented Disaster Recovery Plan is documented and tested annually.
7. A documented Business Continuity Action Plan is documented and tested annually.
8. A distributed monitoring infrastructure monitors for Availability.
9. Industry-standard firewalls are configured to permit ports necessary for the Service and deny all others by default.
10. All Data Importer owned Windows and Mac laptops, workstations and servers in the Data Importer Corporate Environment run a centrally-controlled anti-virus service.

X. *Data Separation*

Data Importer Controls

The Security Services maintain segregation of Data Exporter email data. This is accomplished in the following way:

1. Each Data Exporter is provided with shared IPs particular to the geographic location of the Security Services.
2. Data Exporter's instance of the Security Services is configured to only filter email for the Data Exporter.
3. Systems making up the Data Exporter's instance of the Security Services are configured to only communicate with other systems filtering the Data Exporter's email.

Data Exporter email data is not permitted in the Data Importer Development or QA environments without being specifically requested in writing by the Data Exporter as part of a troubleshooting exercise.

APPENDIX 3 TO THE STANDARD CONTRACTUAL CLAUSES

Subprocessors

<u>Subprocessor Name</u>	<u>Location</u>
Amazon Web Services (AWS)	USA
Cyxtera	USA
Equinix	Germany, and the Netherlands
Salesforce.com	USA
Sutherland Global Services	USA