

## **PRODUCT SPECIFIC LICENSE TERMS**

### **Financial Fusion® TradeForce™ Suite (“Program”)**

IN ADDITION TO THE LICENSE TERMS SET OUT IN THE LICENSE AGREEMENT, THE FOLLOWING ADDITIONAL OR DIFFERENT RIGHTS AND ACCOMPANYING OBLIGATIONS AND RESTRICTIONS SHALL APPLY TO THE PROGRAM FOR WHICH YOU HAVE PURCHASED A LICENSE.

The Program may contain or be provided with component software products from both Financial Fusion and third parties. Except as set forth below, use of all components is limited to use in the same manner and capacity for which the Program as a whole is licensed.

**I. Free Download Components.** The Program may include certain third party open source and other free download components (“Free Download Components”). You may have additional rights in the Free Download Components that are provided by the third party licensors of those components. The Free Download Components and any such third party licenses and third party-required notices for the Program are identified at <http://www.sybase.com/thirdpartylegal>. Any obligations undertaken by Financial Fusion in the Agreement relating to the Free Download Components as part of the Program are provided by Financial Fusion alone, and not by the third party licensors of the Free Download Components. **A. FURTHER DISCLAIMER OF WARRANTIES AND LIABILITIES.** The Free Download Components are provided “AS IS” by the third party licensors, who disclaim all liabilities, damages (even if they have been advised of the possibility of such damages), warranties, indemnities and other obligations of any kind, express or implied, with regard to the Free Download Components. Nothing in the foregoing affects any performance warranty provided by Financial Fusion with regard to the Program as a whole. **B. DISCLAIMER OF INDEMNITIES.** The Free Download Components are excluded from any indemnity provided by Financial Fusion in the Agreement.

#### **II. Product Specific Terms and Conditions.**

1. **Application Programming Interfaces.** No direct access to the underlying component application programming interfaces (APIs) of Program is permitted unless explicitly documented in official program documentation. Developers must access all program functionality through the use of officially documented APIs.

#### **2. Scope of License and Restrictions.**

(a) **Base Edition.** If Customer has licensed the Base Edition (as indicated on the Price Quotation, Exhibit A or Order), Customer may use the Program on one server with a two (2) CPU limit. Additional CPUs may be licensed independently by paying the applicable license fees on a per CPU basis.

(b) **High Availability (HA) Edition.** If Customer has licensed the HA Edition (as indicated on the Price Quotation, Exhibit A or Order), Customer may use the Program on two (2) physical servers in a load-balanced or failover configuration at the physical location listed on the Price Quotation, Exhibit A or Order.

(c) **Warm Standby.** If Customer has licensed a warm standby Program (as indicated on the Price Quotation, Exhibit A or Order), the warm standby Program shall be limited to the Machine running the operating system shown on the Price Quotation, Exhibit A or Order and may be located at a disaster recovery site or at the physical location listed on the Price Quotation, Exhibit A or Order. A warm standby is a copy of a Program (i) that is loaded, together with any corresponding data, onto a Machine in order to provide a warm standby for another copy of a version of such Program then in use on another Machine (“Production Copy”), (ii) that automatically replicates data from the production Machine on a continuous basis and (iii) that is not being accessed or used in production by Customer at the same time as the Production Copy. In the event of a failure of the Production Copy, the data from the warm standby Program may be accessed by Customer.

3. **Development/Test License.** Customer may use a development version of the Program on a single physical server (for Base Edition) and for two (2) physical servers (for HA Edition) exclusively in connection with Customer’s internal development. Customer may use a test version of the Program on a single physical server (for Base Edition) and for two (2) physical servers (for HA Edition) exclusively in connection with Customer’s internal testing.

4. **Message Protocol Adapters and Other Additional Programs.** The media containing the Program also include certain separately licensable message protocol libraries and adapters (the “Adapters”) and other programs which are not licensed for use under this Agreement. Customer may not access or use such Adapters or other programs without purchase of separate licenses for those programs. If the license is for use on more than one Machine, each Machine must be running the same operating system.

If Customer has licensed TradeForce Suite for SWIFT Edition or the TradeForce Suite for SWIFT EAI Edition, Customer may use the message types corresponding to the Libraries licensed under the applicable Price Quotation, Exhibit A or Order. The SWIFT Libraries and associated message types are as indicated on Attachment A to this addendum.

**5. Message Broker.** Customer may use Message Broker to customize licensed protocols to communicate between said protocol and Customer's internal applications (i.e. trade order entry applications, allocation applications, position keeping applications, risk assessment applications, etc.) and/or trading counterparty's internal applications. If Customer licenses multiple message protocols within TradeForce (i.e., TradeForce GlobalFIX *and* TradeForce for GSTP, or TradeForce GlobalFIX *and* TradeForce for SWIFT etc.), Customer may use Message Broker to communicate/route and translate messages between the licensed protocols and internal applications. Customer may customize the core message library (specifically licensed to Customer under the applicable Price Quotation, Exhibit A or Order) by duplication, augmentation or replacement of any message library or of message component. Unless specifically licensed on the Price Quotation, Exhibit A or Order, Customers may not use Message Broker to build internal communication libraries not based on the licensed protocols or designed to enable application-to-application integration or customized message development and integration.

**III. Sample Code.** You may use and modify the source code version of those portions of the Program that are provided as sample code (if any) for your internal use only.

**IV.** If the Program is to be exported from the European Union, prior to that export, you must obtain an export license in accordance with EU Regulation 428/2009 (or any amending or subsequent equivalent legislation).

**ATTACHMENT A**  
**TRADEFORCE SUITE FOR SWIFT EDITION AND TRADEFORCE SUITE FOR SWIFT EAI**  
**EDITION**  
**LIBRARIES AND MESSAGE TYPES**

**1. Securities Settlement and Reconciliation**

MT 508 Intra-Position Advice  
MT 524 Intra-Position Instruction  
MT 526 General Securities Lending/Borrowing Message  
MT 528 ETC Client-Side Settlement Instruction  
MT 529 ETC Market-Side Settlement Instruction  
MT 535 Statement of Holdings  
MT 536 Statement of Transactions  
MT 537 Statement of Pending Transactions  
MT 538 Statement of Intra-Position Advices  
MT 540 Receive Free  
MT 541 Receive Against Payment  
MT 542 Deliver Free  
MT 543 Deliver Against Payment  
MT 544 Receive Free Confirmation  
MT 545 Receive Against Payment Confirmation  
MT 546 Deliver Free  
MT 547 Deliver Against Payment Confirmation  
MT 548 Settlement Status and Processing Advice  
MT 549 Request for Settlement/Status Advice  
MT 574 IRSLSST, IRS 1441 NRA (IRS Beneficial Owners' List)  
MT 574 W8BENO, IRS 1441 NRA (Form W8-BEN)  
MT 575 Statement of Combined Activity  
MT 578 Statement Allegement  
MT 586 Statement of Settlement Allegements  
MT 304 Advice/Instruction of a Third Party Deal  
[plus 590, 591, 592, 595, 596, 598, 599]

**2. Securities Trade Initiation and Confirmation**

MT 500 Instruction to Register  
MT 501 Confirmation of Registration or Modifications  
MT 502 Order to Buy or Sell  
MT 509 Trade Status Message  
MT 510 Registration Status and Processing Advice  
MT 513 Client Advice of Execution  
MT 514 Trade Allocation Instruction  
MT 515 Client Confirmation of Purchase or Sale  
MT 517 Trade Confirmation Affirmation  
MT 518 Market-Side Securities Trade Confirmation  
MT 519 Modification of Client Details  
MT 528 ETC Client-Side Settlement Instruction  
MT 529 ETC Market-Side Settlement Instruction  
MT 576 Statement of Open Orders  
MT 584 Statement of ETC Pending Trades  
[plus 590, 591, 592, 595, 596, 598, 599]

**3. Corporate Actions**

MT 559 Paying Agent's Claim  
MT 564 Corporate Action Notification  
MT 565 Corporate Action Instruction  
MT 566 Corporate Action Confirmation  
MT 567 Corporate Action Status/Processing Advice  
MT 568 Corporate Action Narrative  
MT 577 Statement of Numbers  
MT 579 Certificate Numbers  
[plus 590, 591, 592, 595, 596, 598, 599]

**4. Securities Lending**

MT 503 Collateral Claim  
MT 504 Collateral Proposal  
MT 505 Collateral Substitution  
MT 506 Collateral and Exposure Statement  
MT 507 Collateral Status and Processing Advice  
MT 516 Securities Loan Confirmation  
MT 526 General Securities Lending/Borrowing Message  
MT 527 Triparty Collateral Instruction  
MT 558 Triparty Collateral Status and Processing  
MT 569 Triparty Collateral and Exposure Statement  
MT 581 Collateral Adjustment Message  
MT 582 Reimbursement Claim or Advice  
[plus 590, 591, 592, 595, 596, 598, 599]

**5. Foreign Exchange**

MT 300 Foreign Exchange Confirmation  
MT 303 Forex/Currency Option Allocation Instruction  
MT 304 Advice/Instruction of a Third Party Deal  
MT 305 Foreign Currency Option Confirmation  
MT 306 Foreign Currency Option Confirmation  
MT 307 Advice/Instruction of a Third Party FX Deal  
MT 308 Instruction for Gross/Net Settlement of Third Party FX Deal  
MT 380 Foreign Exchange Order  
MT 381 Foreign Exchange Order Confirmation  
[plus 390, 391, 392, 395, 396, 398, 399]

**6. Loan/Deposits (Money Market)**

MT 320 Loan/Deposit Confirmation  
MT 321 Instruction to Settle a Third Party Loan/Deposit  
MT 330 Call/Notice Loan/Deposit Confirmation  
MT 350 Advice of a Loan/Deposit Payment  
[plus 390, 391, 392, 395, 396, 398, 399]

**7. Interest Rate Swaps**

MT 360 Single Currency Interest Rate Derivative Confirmation  
MT 361 Cross Currency Interest Rate Swap Confirmation  
MT 362 Interest Rate Swap Reset/Advice of Payment  
MT 364 Single Currency Termination  
MT 365 Cross Currency Termination  
[plus 390, 391, 392, 395, 396, 398, 399]

**8. Forward Rate Agreements (FRAs)**

MT 340 Forward Rate Agreement Confirmation  
MT 341 Forward Rate Agreement Settlement Confirmation  
[plus 390, 391, 392, 395, 396, 398, 399]

**9. Basic Payments**

MT 101 Request for Transfer  
MT 102 Multiple Customer Credit Transfer  
MT 102P Multiple Customer Credit Transfer  
MT 103 Single Customer Credit Transfer  
MT 103P Single Customer Credit Transfer  
MT 104 Customer Direct Debit  
MT 107 Direct Debit  
MT 110 Advice of Cheque(s)  
MT 111 Request for Stop Payment of a Cheque  
MT 112 Status of a Request for Stop Payment of a Cheque  
MT 200 Financial Institution Transfer for its Own Account  
MT 201 Multiple version of MT 200  
MT 202 General Financial Institution Transfer  
MT 203 Multiple version of MT 202  
MT 204 Financial Markets Direct Debit Message  
MT 205 Financial Institution Transfer Execution  
MT 206 Cheque Truncation Message  
MT 207 Request for Financial Institution Transfer  
MT 210 Notice to Receive  
MT 256 Advice of Non-Payment of Cheque(s)  
MT 900 Confirmation of Debit  
MT 910 Confirmation of Credit  
MT 920 Request Message  
MT 935 Rate Change Advice  
MT 940 Customer Statement Message  
MT 941 Balance Report  
MT 942 Interim Transaction Report  
MT 950 Statement Message (Nostro Account)  
MT 970 Netting Statement  
MT 971 Netting Balance Report  
MT 972 Netting Interim Statement  
MT 973 Netting Request Message  
MT 985 Status Enquiry  
MT 986 Status Report  
[plus 190, 191, 192, 195, 196, 198, 199, 290, 291, 292, 295, 296, 298, 299, 990, 991, 992, 995, 996, 998, 999]

**10. Precious Metals**

MT 600 Precious Metal Trade Confirmation  
MT 601 Precious Metal Option Confirmation  
MT 604 Precious Metal Transfer/Delivery Order  
MT 605 Precious Metal Notice to Receive  
MT 606 Precious Metal Debit Advice  
MT 607 Precious Metal Credit Advice  
MT 608 Statement of a Metal Account  
MT 609 Statement of Metal Contracts  
[plus 690, 691, 692, 695, 696, 698, 699]

**11. Depository Receipts**

MT 587 Depository Receipt Instruction  
MT 588 Depository Receipt Confirmation  
MT 589 Depository Receipt Status/Processing Advice  
[plus 590, 591, 592, 595, 596, 598, 599]

**12. Documentary Credits**

MT 700 Issue of a Documentary Credit  
MT 701 Issue of a Documentary Credit  
MT 705 Pre-Advice of a Documentary Credit  
MT 707 Amendment to a Documentary Credit  
MT 710 Advice of a Third Bank's Documentary Credit  
MT 711 Advice of a Third Bank's Documentary Credit

MT 720 Transfer of a Documentary Credit  
MT 721 Transfer of a Documentary Credit  
MT 730 Acknowledgement  
MT 732 Advice of Discharge  
MT 734 Advice of Refusal  
MT 740 Authorization to Reimburse  
MT 742 Reimbursement Claim  
MT 747 Amendment to Authorization to Reimburse  
MT 750 Advice of Discrepancy  
MT 752 Authorization to Pay, Accept or Negotiate  
MT 754 Advice of Payment/Acceptance/Negotiation  
MT 756 Advice of Reimbursement or Payment  
MT 760 Guarantee  
MT 767 Guarantee Acknowledgement  
MT 768 Acknowledgement of a Guarantee Message  
MT 769 Advice of Reduction or Release  
[plus 790, 791, 792, 795, 796, 798, 799]

### **13. Collections**

MT 400 Advice of Payment  
MT405 Clean Collection  
MT 410 Acknowledgement  
MT 412 Advice of Acceptance  
MT416 Advice of Non-Payment/Non-Acceptance  
MT 420 Tracer  
MT 422 Advice of Fate and Request for Instructions  
MT430 Amendment of Instructions  
MT450 Cash Letter Credit Advice  
MT455 Cash Letter Credit Adjustment Advice  
MT456 Advice of Dishonour  
[plus 490, 491, 492, 495, 496, 498, 499]

### **14. Systems Messages**

[Receive only]  
MT 010 Non-delivery Warning  
MT 011 Delivery Notification  
MT 012 Sender Notification  
MT 015 Delayed NAK  
MT 019 Abort Notification  
MT 082 Undelivered Message Report (at a fixed hour)  
MT 083 Undelivered Message Report (at cut-off time)  
MT 094 Broadcast  
MT 293 Information Service Message  
ACK/NAK Message Acknowledgment/Non-Acknowledgment

### **15. SYNDICATIONS**

MTMT643 Notice of Drawdown/Renewal  
MT644 Advice of Rate and Amount Fixing  
MT645 Notice of Fee Due  
MT646 Payment of Principal and/or Interest  
MT649 General Syndicated Facility Message  
[plus 690, 691, 692, 695, 696, 698, 699]