

## DATA PROCESSING ADDENDUM - GDPR

This Data Processing Addendum (“**DPA**” or “**Addendum**”) forms part of the existing agreement(s) between Customer and CA, and/or other written or electronic agreement between CA and Customer for the purchase of Services provided by CA (the “**Agreement**”) to reflect the parties’ agreement with regard to the Processing of Personal Data of Customer, in accordance with the requirements of Data Protection Laws. The Effective Date of this DPA is the date of the last signature of a party below. All capitalized terms not defined herein shall have the meaning set out in the Agreement.

### 1. GENERAL TERMS

This DPA applies to the Processing of Personal Data, within the scope of the EU General Data Protection Regulation 2016/679 (as further defined in Section 11, and hereinafter “**GDPR**”), by CA on behalf of Customer. Effective May 25, 2018, CA will Process Personal Data in accordance with the GDPR requirements directly applicable to CA’s provision of its Services. This DPA does not limit or reduce any data protection commitments relating to Processing of Customer Data previously negotiated by Customer in the Agreement (including any existing data processing addendum to the Agreement).

By signing this Addendum, Customer enters into the DPA on behalf of itself and, to the extent required under applicable Data Protection Laws, in the name and on behalf of its Authorized Affiliates, if and to the extent CA Processes Personal Data for which such Authorized Affiliates qualify as the Controller. For the purposes of this DPA only, the term “**Customer**” shall include Customer and Authorized Affiliates, unless otherwise indicated herein.

In the course of providing the Services to Customer pursuant to the Agreement, CA may Process Personal Data on behalf of Customer. CA agrees to comply with the following provisions with respect to any Personal Data Processed for Customer in connection with the provision of the Services. If not otherwise defined in the relevant section, all definitions applicable to this DPA have been consolidated into Section 11, titled “**Definitions**.”

### 2. PROCESSING OF PERSONAL DATA

**2.1** The parties agree that with regard to the Processing of Personal Data, Customer is the Data Controller, CA is a Data Processor and that CA or members of the CA Group will engage Subprocessors pursuant to the requirements set forth in Section 5 “**Subprocessors**” below.

**2.2** Customer shall, in its use or receipt of the Services, Process Personal Data in accordance with the requirements of Data Protection Laws and Customer will ensure that its instructions for the Processing of Personal Data shall comply with Data Protection Laws. Customer shall have sole responsibility for the accuracy, quality, and legality of Personal Data and the means by which Customer acquired Personal Data.

**2.3** CA will Process Personal Data in accordance with applicable Data Protection Laws, the GDPR requirements, directly applicable to CA’s provision of its Services. CA shall only Process Personal Data on behalf of and in accordance with Customer’s documented instructions and shall treat Personal Data as Confidential Information. Customer instructs CA to Process Personal Data for the following purposes: (i) Processing in accordance with the Agreement and applicable orders; (ii) Processing to comply with other reasonable instructions provided by Customer (e.g., via a support ticket) where such instructions are consistent with the terms of the Agreement, and (iii) Processing of Personal Data that is required under applicable law to which CA or CA Affiliate is subject, including but not limited to applicable Data Protection Laws, in which case CA or the relevant CA Affiliate shall to the extent permitted by applicable law, inform the Customer of such legally required Processing of Personal Data.

**2.4.** As required under Article 28(3) of the GDPR, the subject matter and duration of the Processing, the nature and purpose of the Processing, the types of Personal Data and categories of Data Subjects are set forth in Annex I to this DPA Addendum (titled “Annex 1: Details of Processing Customer Personal Data”). The subject matter of Processing of Personal Data by CA is the performance of the Services provided under the Agreement. Upon prior written notice, Customer may request reasonable amendments to Annex 1 as Customer reasonably considers necessary to meet the requirements of Article 28(3) of the GDPR and CA will review such requested changes. Nothing in Annex 1 confers any right or imposes any obligation on any party to this Addendum.

### **3. RIGHTS OF DATA SUBJECTS**

**3.1.** CA shall, to the extent legally permitted, promptly notify Customer if it receives a request from a Data Subject to exercise the Data Subject's right of access, right to rectification, restriction of Processing, erasure (“right to be forgotten”), data portability, object to the Processing, or its right not to be subject to an automated individual decision making (“**Data Subject Request**”). Taking into account the nature of the Processing, CA shall assist Customer by appropriate technical and organizational measures, to the extent possible, for the fulfilment of Customer’s obligation to respond to a Data Subject Request under Chapter III of the GDPR. Except to the extent required by applicable law, CA shall not respond to any such Data Subject Request without Customer’s prior written consent except to confirm that the request relates to Customer.

**3.2** Further, to the extent Customer, in its use of the Services, does not have the ability to address a Data Subject Request, CA shall upon Customer’s request provide commercially reasonable efforts to assist Customer in responding to such Data Subject Request, to the extent CA is legally permitted to do so and provided that such Data Subject Request is required under applicable Data Protection Laws. Any costs arising from such provision of assistance shall be the responsibility of Customer, to the extent legally permitted.

### **4. PERSONNEL**

**4.1** CA shall ensure that its personnel engaged in the Processing of Personal Data are informed of the confidential nature of the Personal Data, have received appropriate training on their responsibilities and are subject to obligations of confidentiality and such obligations survive the termination of that persons’ engagement with CA.

**4.2** CA shall take commercially reasonable steps to ensure the reliability of any CA personnel engaged in the Processing of Personal Data.

**4.3** CA shall ensure that CA Group’s access to Personal Data is limited to those personnel who require such access to perform the Agreement.

**4.4 Data Protection Officer.** Members of the CA Group have appointed a data protection officer where such appointment is required by Data Protection Laws. The appointed person may be reached at [datatransfers@ca.com](mailto:datatransfers@ca.com).

### **5. SUBPROCESSORS**

**5.1** Customer acknowledges and agrees that (a) CA’s Affiliates may be retained as Subprocessors; and (b) CA and CA’s Affiliates respectively may engage third-party Subprocessors in connection with the provision of the Services. Any such Subprocessors will be permitted to obtain Personal Data only to deliver the services CA has retained them to provide, and they are prohibited from using Personal Data for any other purpose.

**5.2** CA shall be liable for the acts and omissions of its Subprocessors to the same extent CA would be liable if performing the services of each Sub-processor directly under the terms of this DPA, except as otherwise set forth in the Agreement.

**5.3** CA or CA Affiliate has entered into a written agreement with each Subprocessor containing data protection obligations that are no less protective than the terms set forth in this Addendum with respect to the protection of Personal Data and meet the requirements of Article 28(3) of the GDPR or equivalent provisions of any other Data Protection Law, to the extent applicable to the nature of the Services provided by such Subprocessor.

**5.4** Customer authorizes CA and each CA Affiliate to appoint Subprocessors in accordance with this Section 5. The list of CA Subprocessors used by CA in connection with its provision of the Services is set forth in Annex 2, and such list includes all Subprocessors' identities and country of location ("**Subprocessors List**"). In the event CA makes any changes or additions to such list, the current Subprocessor List is made available to Customer at: <https://support.ca.com/us/product-content/admin-content/subprocessor-list.html>, thereby giving Customer the opportunity to object to such changes (as set forth in section 5.5 below) .

**5.5.** Customer may object to CA's use of a new Subprocessor by notifying CA promptly in writing within ten (10) business days after any updates are made by CA to the Subprocessor list. In the event of such objection by Customer, CA will take commercially reasonable steps to address the objections raised by Customer and provide Customer with reasonable written explanation of the steps taken to address such objection.

**5.6. Data Transfers.** CA shall not transfer Personal Data of Customer except lawfully, in compliance with applicable Data Protection Laws and Personal Data will be transferred in accordance with CA's statement and terms set out at <https://www.ca.com/us/legal/privacy/data-transfers.html> . Solely for the provision of Services to Customer under the Agreement and subject to this Section 5.6, Customer hereby authorizes CA to make routine transfers of Personal Data to the local CA Group entity and/or approved Sub-processors of CA. Notwithstanding, in the event that Personal Data of Customer is transferred from the European Union, the European Economic Area and/or their member states, Switzerland and the United Kingdom to countries which do not ensure an adequate level of data protection within the meaning of the Data Protection Laws of the foregoing territories ("**Restricted Transfers**"), CA complies with the provisions of Section 5.6(a), with respect to such Restricted Transfers.

(a) **Transfer mechanisms for Restricted Transfers.** CA makes available the transfer mechanisms listed below which shall apply, with respect to any Restricted Transfers under this DPA, to the extent such transfers are subject to such Data Protection Laws:

- (1) **Privacy Shield self-certifications.** CA has certified its compliance to the EU-US Privacy Shield Program. CA shall maintain its certification to the Privacy Shield for so long as it maintains any EEA Personal Data. In the event that EU authorities or courts determine that the Privacy Shield is not an appropriate basis for transfers, the parties shall promptly execute an approved EU Standard Contractual Clauses (Processors), which shall be incorporated herein upon execution.
- (2) **EU Standard Contractual Clauses.** CA and CA Affiliates acting as Subprocessor (as listed in Annex 2) have previously entered into The EU Standard Contractual Clauses for a controller-processor relationship and for the benefit of the Customer. Further, CA hereby enters into approved EU Standard Contractual Clauses (Processors), as further set forth in Section 9 of this Addendum, and a copy of which is attached hereto in Attachment 1.

In the event that Services are covered by more than one transfer mechanism, the transfer of Customer's Personal Data will be subject to a single transfer mechanism in accordance with the following order of precedence: (i) Privacy Shield self-certifications; (ii) EU Standard Contractual Clauses.

## 6. SECURITY

**6.1.** Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of Processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, Customer and CA shall implement appropriate technical and organizational measures to ensure a level of security appropriate to the risk. CA will maintain appropriate technical and organizational measures for protection of the security, confidentiality and integrity of Personal Data that meet the requirements for a Data Processor under the GDPR, as set forth in Annex 2 "Security of Processing – GDPR Art. 32". CA regularly monitors compliance with these safeguards. CA will not materially decrease the overall security of the Services during the term of CA's provision of such Services pursuant to the applicable Agreement or order form thereunder.

**6.2** Upon Customer's written request at reasonable intervals, CA shall provide a copy of CA's then most recent third-party audits or certifications, as applicable, or any summaries thereof, related to the Processing of Personal Data of Customer, that CA generally makes available to its customers at the time of such request. CA shall make available to Customer, upon reasonable written request, such information necessary to demonstrate compliance with this Addendum, and shall allow for written audit requests by Customer or an independent auditor in relation to the Processing of Personal Data to verify that CA employs reasonable procedures in compliance with this Addendum, provided that Customer shall not exercise this right more than once per year. Such information and audit rights are provided under this section 6.2 to the extent the Agreement does not provide such audit rights that meet the requirements of applicable Data Protection Laws (including, where applicable, Article 28(3)(h) of the GDPR). Any information provided by CA and/or audits performed pursuant to this section are subject to the confidentiality obligations set forth in the Agreement.

**6.3** CA shall provide Customer with reasonable assistance as needed to fulfil Customer's obligation to carry out a data protection impact assessment under Article 35 or 36 of the GDPR as related to Customer's use of the Services. CA will provide such assistance upon Customer's reasonable request and to the extent Customer does not otherwise have access to the relevant information, and to the extent such information is available to CA. Additionally, CA will provide reasonable assistance to Customer in the cooperation or prior consultation with the Supervisory Authority in the performance of its tasks relating to this Section 6.3, to the extent required under the GDPR.

## 7. SECURITY BREACH MANAGEMENT AND NOTIFICATION

**7.1** CA will promptly notify Customer, without undue delay, after CA becomes aware of any accidental or unlawful destruction, loss, alteration, unauthorized disclosure of, or unlawful access to any Customer's Personal Data that is transmitted, stored or otherwise Processed by CA or its Subprocessors of which CA becomes aware ("**Security Breach**"). CA will use reasonable efforts to identify the cause of such Security Breach and shall promptly and without undue delay: (a) investigate the Security Breach and provide Customer with information about the Security Breach, including if applicable, such information a Data Processor must provide to a Data Controller under Article 33(3) of the GDPR to the extent such information is reasonably available; and (b) take reasonable steps to mitigate the effects and to minimize any damage resulting from the Security Breach to the extent the remediation is within CA's reasonable control. The obligations herein shall not apply to any breach that is caused by Customer or its Authorized Users. Notification will be delivered to Customer in accordance with Section 7.3 below.

**7.2** CA's obligation to report or respond to a Security Breach under this Section is not and will not be construed as an acknowledgement by CA of any fault or liability with respect to the Security Breach.

**7.3.** Notification(s) of Security Breaches, if any, will be delivered to one or more of Customer’s business, technical or administrative contacts by any means CA selects, including via email. It is Customer’s sole responsibility to ensure it maintains accurate contact information on CA’s support systems at all times.

## **8. RETURN AND DELETION OF CUSTOMER DATA**

**8.1** CA shall return Customer Data to Customer and/or delete Customer Data in accordance with CA’s procedures and Data Protection Laws and/or consistent with the terms of the Agreement.

**8.2** At Customer’s request, CA shall delete or return all Personal Data to Customer after the end of the provision of Services relating to Processing, and delete existing copies, in accordance with the procedures set forth in Annex 2 “Security of Processing – GDPR Art. 32”, unless applicable Data Protection Law requires storage of the Personal Data.

## **9. ADDITIONAL TERMS FOR EU PERSONAL DATA**

**9.1** The Standard Contractual Clauses in Attachment 1 and the additional terms in this Section 9 will apply to the Processing of Personal Data by CA in the course of providing the Services.

**9.1.1** The Standard Contractual Clauses apply only to Personal Data that is transferred from the European Economic Area (EEA) or Switzerland to outside the EEA or Switzerland, either directly or via onward transfer, to any country or recipient: (i) not recognized by the European Commission as providing an adequate level of protection for personal data (as described pursuant to applicable Data Protection Law, and (ii) not covered by a suitable framework recognized by the relevant authorities or courts as providing an adequate level of protection for personal data, including but not limited to Binding Corporate Rules for Processors.

**9.1.2** The Standard Contractual Clauses apply to (i) the legal entity that has executed the Standard Contractual Clauses as a Data Exporter and, (ii) all Affiliates (as defined in the Agreement) of Customer established within the European Economic Area (EEA) and Switzerland that have purchased Services on the basis of an order under the Agreement. For the purpose of the Standard Contractual Clauses and this Section 9, the Customer and its Affiliates shall be deemed to be “Data Exporters”.

**9.2** This DPA and the Agreement are Data Exporter’s complete and final instructions to Data Importer for the Processing of Personal Data. Any additional or alternate instructions must be agreed upon separately. For the purposes of Clause 5(a) of the Standard Contractual Clauses, the following is deemed an instruction by the Data Exporter to Process Personal Data: (a) in accordance with the Agreement and applicable orders thereunder; and (b) in compliance with other reasonable instructions provided by Customer (e.g., via a support ticket) where such instructions are consistent with the terms of the Agreement.

**9.3** Pursuant to Clause 5(h) of the Standard Contractual Clauses, the Data Exporter acknowledges and expressly agrees that CA’s Affiliates may be retained as Subprocessors; and (b) CA and CA’s Affiliates respectively may engage third-party Subprocessors in connection with the provision of the Services. Data Importer shall make available to Customer a current list of Subprocessors for the respective Services with the identities of those Subprocessors in accordance with Section 5.5 of this DPA, further detailing CA’s provision of the Subprocessor List.

**9.4** The parties agree that the copies of the Sub-processor agreements that must be sent by the Data Importer to the Data Exporter pursuant to Clause 5(j) of the Standard Contractual Clauses may have all commercial information, or provisions unrelated to the Standard Contractual Clauses or their equivalent, removed by the Data Importer beforehand; and that such copies will be provided by Data Importer only upon reasonable request by Data Exporter.

**9.5** The parties agree that the audits described in Clause 5(f), Clause 11 and Clause 12(2) of the Standard Contractual Clauses shall be carried out in accordance with the following specifications: Upon Data Exporter's request, and subject to the confidentiality obligations set forth in the Agreement, Data Importer shall, within a reasonable period following such request, make available to Data Exporter (or Data Exporter's independent, third-party auditor that is not a competitor of CA) information regarding CA Group's compliance with the obligations set out in this DPA in the form of the third-party certifications and audits it carries out as described in the Agreement and/or the Security Practices Document to the extent CA makes them generally available to its customers. Customer may contact Data Importer in accordance with the "Notices" Section of the Agreement to request an on-site audit of the procedures relevant to the protection of Personal Data. Customer shall reimburse Data Importer for any time expended for any such on-site audit at the CA Group's then-current professional services rates, which shall be made available to Data Exporter upon request. Before the commencement of any such on-site audit, Data Exporter and Data Importer shall mutually agree upon the scope, timing, and duration of the audit in addition to the reimbursement rate for which Data Exporter shall be responsible. All reimbursement rates shall be reasonable, taking into account the resources expended by Data Importer. Data Exporter shall promptly notify Data Importer with information regarding any non-compliance discovered during the course of an audit.

**9.6** The parties agree that the certification of deletion of Personal Data that is described in Clause 12(1) shall be provided by the Data Importer to the Data Exporter only upon Data Exporter's request.

**9.7** In the event of any conflict or inconsistency between this DPA and the Standard Contractual Clauses in Attachment 1, the Standard Contractual Clauses shall prevail. If this document has been electronically signed by either party such signature will have the same legal affect as a hand written signature.

## **10. PARTIES TO THIS DPA**

**10.1 Limitation of Liability.** CA, Inc. is a party to the Standard Contractual Clauses in Attachment 1. If CA, Inc. is not a party to the Agreement, the Section of the Agreement 'Limitation of Liability' shall apply as between Customer and CA, Inc., and in such respect any reference to 'CA' shall include both CA, Inc. and the CA entity who is a party to the Agreement. Each party's and all of its Affiliates' liability, taken together in the aggregate, arising out of or related to this DPA, and all DPAs between Authorized Affiliates and CA, whether in contract, tort or under any other theory of liability, is subject to the 'Limitation of Liability' section of the Agreement governing the applicable Services, and any reference in such section to the liability of a party means the aggregate liability of that party and all of its Affiliates under the Agreement and all DPAs together. For the avoidance of doubt, each reference to the DPA in this DPA means this DPA including its Annexes, Schedules and/or Appendices.

**10.2 Authorized Affiliates & Contractual Relationship.** By executing this DPA, Customer enters into this DPA on behalf of itself and, to the extent required under applicable Data Protection Laws, in the name and on behalf of its Authorized Affiliates if and to the extent CA Processes Personal Data for which such Authorized Affiliates qualify as the Data Controller. Each Authorized Affiliate agrees to be bound by the obligations under this DPA and, to the extent applicable, the Agreement. For the avoidance of doubt, an Authorized Affiliate is not and does not become a party to the Agreement, and such Authorized Affiliate is only a party to the DPA. All access to and use of the Services by Authorized Affiliates must comply with the terms and conditions of the Agreement and any violation of the terms of the Agreement by an Authorized Affiliate shall be deemed a violation by Customer. For the purposes of this DPA only, the term "Customer" shall include Customer and Authorized Affiliates, unless otherwise indicated herein.

**10.2.1 Communication.** The Customer that is the contracting party to the Agreement shall remain responsible for coordinating all communication with CA under this DPA and be entitled to make and receive any communication in relation to this DPA on behalf of its Authorized Affiliates.

**10.2.2 Rights of Authorized Affiliates.** Where an Authorized Affiliate becomes a party to the DPA with CA, it shall to the extent required under applicable Data Protection Laws be entitled to exercise the rights and seek remedies under this DPA, subject to the following:

**10.2.2.1** Except where applicable Data Protection Laws require the Authorized Affiliate to exercise a right or seek any remedy under this DPA against CA directly by itself, the parties agree that (i) solely the Customer that is the contracting party to the Agreement shall exercise any such right or seek any such remedy on behalf of the Authorized Affiliate, and (ii) the Customer that is the contracting party to the Agreement shall exercise any such rights under this DPA not separately for each Authorized Affiliate individually, but in a combined manner for all of its Authorized Affiliates together.

## 11. DEFINITIONS

**“CA Affiliates”** means any entity which is controlled by, controls or is in common control with CA.

**“CA”** means the CA Group entity that is a party to this DPA, as applicable.

**“CA Group”** means CA and its Affiliates engaged in the Processing of Personal Data.

**“Authorized Affiliate”** means any of Customer's Affiliate(s) which (a) is subject to the Data Protection Laws of the European Union, the European Economic Area and/or their member states, Switzerland and/or the United Kingdom, and (b) is permitted to use the Services pursuant to the Agreement between Customer and CA, but has not signed its own Order Form with CA and is not a "Customer" as defined under the Agreement. For the purposes of this DPA only, the term "Customer" shall include Customer and Authorized Affiliates, unless otherwise indicated herein. For the avoidance of doubt, **“Customer Affiliate”** means a legal entity that Customer directly or indirectly majority owns or controls through a majority interest.

**“Data Controller”, “Data Processor”, “Data Subject”, “Commission”, “Member State”, and “Supervisory Authority”** shall have the meaning given to them in Chapter 1, Article 4 of the GDPR and their cognate terms shall be construed accordingly.

**“Data Protection Laws”** means all laws and regulations, including laws and regulations of the European Union, the European Economic Area and their member states, including the GDPR (as defined below), applicable to the Processing of Personal Data under the Agreement.

**“GDPR”** means EU General Data Protection Regulation 2016/679 (*Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016*) on the protection of natural persons with regard to the Processing of Personal Data and on the free movement of such data, and repealing EU Directive 95/46/EC.

**“Personal Data”** means any information relating to (i) an identified or identifiable person and, (ii) an identified or identifiable legal entity (where such information is protected similarly as personal data or personally identifiable information under applicable Data Protection Laws), where for each (i) or (ii), such data is Customer Data (as defined in the applicable Agreement) provided in connection with the Agreement.

**“Processing”** means any operation or set of operations which is performed upon Personal Data, whether or not by automatic means, such as collection, recording, organization, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or



combination, blocking, erasure or destruction (“Process”, “Processes” and “Processed” shall have the same meaning).

“Security Breach” has the meaning given in Section 7 of this Addendum.

“Security Practices Document” means the Information Security Practices Document (or the applicable part dependent on what Services Customer purchases from CA), as updated from time to time, accessible at <https://www.ca.com/content/dam/ca/us/files/supportingpieces/ca-information-security-practices.pdf>, or as otherwise incorporated in the Agreement between CA and Customer.

“Security Annex” means the technical and organizational security measures implemented by CA for the protection of Personal Data, set forth in Annex 2 “Security of Processing – GDPR Art. 32”. To the extent that the terms of the CA Security Practices Document and the terms of the Security Annex conflict, the terms of the Security Annex 2 shall govern with respect to the security measures and protection of Personal Data in accordance with the requirements of the GDPR.

“Services” means the provision of maintenance and support services and/or consultancy or professional services and/or the provision of software as a service and/or any other services provided under the Agreement where CA Processes Personal Data of Customer.

“Standard Contractual Clauses” means the agreement executed by and between Customer and CA, Inc. and attached as Attachment 1 pursuant to the European Commission’s decision of 5 February 2010 on Standard Contractual Clauses for the transfer of personal data to processors established in third countries which do not ensure an adequate level of data protection.

“Subprocessor” means any Data Processor engaged by CA or a member of the CA Group.

**List of Annexes & Attachments**

Annex 1: Details of Processing Customer Personal Data

Annex 2: Security of Processing – Art. 32 GDPR

Attachment 1: Standard Contractual Clauses - <https://www.ca.com/us/legal/privacy/data-transfers.html?intcmp=footernav>

IN WITNESS WHEREOF, this DPA is entered into and becomes a binding part of the Agreement(s) between Customer and CA, as of the Effective Date. If this document has been electronically signed by either party such signature will have the same legal affect as a hand-written signature.

Agreed for and on behalf of CA	Agreed for and on behalf of Customer
CA Entity: _____	Customer Entity: _____
Signed: _____	Signed: _____
Name: _____	Name: _____
Title: _____	Title: _____



Date: _____	Date: _____
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**ANNEX 1: DETAILS OF PROCESSING OF CUSTOMER PERSONAL DATA**

This Annex 1 includes certain details of the Processing of Customer’s Personal Data as required by Article 28(3) GDPR (or as applicable, equivalent provisions of any other Data Protection Law).

*Subject matter and duration of the Processing of Customer Personal Data*

The subject matter and duration of the Processing of the Customer Personal Data are set out in the Principal Agreement and this Addendum.

*The nature and purpose of the Processing of Customer Personal Data*

Nature:

- Collection
- Recording
- Disclosure
- Deletion
- Alteration
- Restriction
- Use

Purpose:

Customer Personal Data is used to provide Support or SaaS as set out in the Principal Agreement.

*The types of Customer Personal Data to be Processed*

- Customer Data of natural persons
- Customer Data of companies
- Employee Data
- Other Personal Data

*The categories of Data Subject to whom the Customer Personal Data relates*

Special Categories of Personal Data (Art. 9 GDPR)

- Health/sex Life
- Trade Union Membership
- Religious or Philosophical Beliefs
- Political Opinions
- Racial/Ethnic Origin

*The obligations and rights of Customer and Customer Affiliates*

The obligations and rights of Customer and Customer Affiliates are set out in the Agreement and the DPA, including any Annex, Attachment or Schedule to the DPA.

## ANNEX 2 - SECURITY OF PROCESSING – ART. 32 GDPR

### Preamble

Taking into account the state of the art, the costs of implementation and the nature, scope, context and purposes of processing as well as the risk of varying likelihood and severity for the rights and freedoms of natural persons, the controller and the processor shall implement appropriate technical and organisational measures to ensure a level of security appropriate to the risk, including inter alia as appropriate:

### § 1 Technical and organisational measures implemented to ensure an appropriate level of security (SaaS and On Premise)

(1a) Measures on <b>pseudonymisation /anonymisation</b> of personal data:
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Data stored in this product is not generally of a nature that requires pseudonymisation or anonymisation. If required, Customer should escalate to CA.
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<b>On Premise:</b> Not applicable
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(1b) Measures on the <b>encryption</b> of personal data:
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<b>ENCRYPTION</b>
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All data is encrypted in-transit using TLS, with 1.0, 1.1 (will be deprecated), and 1.2 currently supported. In addition, Customer Data is encrypted on any server or device that is removed from CA's premises for backup or off-site storage (where applicable). Key management procedures are employed that assure the confidentiality, integrity and availability of cryptographic key material. Use of encryption products comply with local restrictions and regulations on the use of encryption in a relevant jurisdiction.
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Encryption Policy
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Data security policy that dictates encryption use is documented. The encryption strength of Customer Data in transmission is defined.
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Encryption Key Management
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Cryptographic key management procedures are documented and automated. Products or solutions are deployed to keep the data encryption keys encrypted (e.g., software based solution, Hardware Security Module (HSM)).
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Encryption Uses
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Customer Data transmission over the public internet always utilizes encrypted channel. Encryption details are documented if transmission is automated. Approved and dedicated staff is responsible for encrypting/ decrypting the data, if manual. Customer Data must also be encrypted while in transit over any network. VPN transmissions are performed over an encrypted channel.
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<b>On Premise:</b>
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Controller provides support case data in an encrypted manner to processor. Case resolution is done in a secured environment. 30 days after case is closed, support case data is deleted
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**(1c) Measures of ensuring the **ongoing confidentiality** of personal data:**

All access to the data centers where Customer data is stored, is restricted to CA's Operations Team according to CA Information Access Control Policies and CA Segregation of Duties Policy (CA follows the principle of least privilege and only grants access based on role and business use case). Access rights are reviewed regularly or upon change of role/termination of an employee. Access to the environment where Customer data is stored is strictly controlled and monitored. Customer is responsible for managing access to their subscription data and are responsible for the lifecycle of those accounts. Customer Subscription Administrators are responsible for user administration and related password policies within the application. The Customer is responsible for the lifecycle of this account.

**On Premise:**

Work is done in secure environment; data transfer is secured. Deletion of data after closing of support case.

**(1d) Measures to ensure **ongoing integrity** of personal data:**

**DATA INTEGRITY**

CA Technologies Policies and Procedures are designed to ensure that any data stored, received, controlled or otherwise accessed is not compromised and remains intact. Inspection procedures are in place to validate data integrity.

**Data Transmission Controls**

Data transmission control processes and procedures to ensure data integrity are documented. Check sums and counts are employed to validate that the data transmitted is the same as data received.

**Data Transaction Control**

Controls to prevent or identify duplicate transactions in financial messages are documented. Digital certificates (e.g., digital signature, server to server) utilized for ensuring data integrity during transmission follow a documented process and procedure.

**On Premise:**

Not applicable; Data is deleted after closing of support case, see section 2 a) to e)

**(1e) Measures to ensure **ongoing availability of processing systems and services:****

**AVAILABILITY CONTROL**

- Protection against fire and measures in case of power outages in the data processing centers including backup

**Physical Controls**

CA Technologies has effective controls in place to protect against physical penetration by malicious or unauthorized people. Physical controls covering the entire facility are documented. Additional access restrictions are enforced for servers/ computer/ telecommunications room compared to the general area.

**Backup and Offsite Storage**

CA Technologies has a defined backup policy and associated procedures for performing backup of data in a scheduled and timely manner. Effective controls are established to safeguard backed up data (onsite and off-site). CA Technologies also ensures that Customer Data is securely

transferred or transported to and from backup locations. Furthermore, CA Technologies conducts periodic tests to ensure that data can be safely recovered from backup devices.

**Backup Process**

Backup and offsite storage procedures are documented. Procedures encompass ability to fully restore applications and operating systems. Periodic testing of successful restoration from backup media is demonstrated. The on-site staging area has documented and demonstrated environmental controls (e.g., humidity, temperature).

**Backup Media Destruction**

Procedures are defined for instructing personnel on the proper methods of backup media destruction. Back up media destruction by a third party is accompanied by documented procedures (e.g., certificate of destruction) for destruction confirmation.

**Offsite Storage**

Physical security plan for the offsite facility is documented. Access controls is enforced at entry points and in storage rooms. Access to the off-site facility is restricted and there is an approval process to obtain access. Electronic transmission of data to off-site location is performed over encrypted channel.

**On Premise:**

Closed-Shop-Environment; not applicable. Data remains with controller in existence

**(1f) Measures to ensure ongoing resilience of processing systems and services:**

**VULNERABILITY MONITORING**

CA Technologies continuously gather and analyze information regarding new and existing threats and vulnerabilities, actual attacks on the institution or others, and the effectiveness of the existing security controls. Monitoring controls include related policy and procedure, virus and malicious code, intrusion detection, and event and state monitoring. Related logging process provides an effective control to highlight and investigate security events.

**Vulnerability Policy and Procedure**

Penetration/ vulnerability testing of the internal/ external networks and/ or specific hosts is performed. The tests are usually performed externally by a reputed external organization. Customer environments are covered as part of the scope of the tests. All issues rated as high risk are remediated with appropriate timelines.

**Anti-virus and Malicious Code**

Servers, workstations and internet gateway devices are updated periodically with latest antivirus definitions. Defined procedure highlights all anti-virus updates. Anti-virus tools are configured to run weekly scans, virus detection, real time file write activity and signature files updates. Laptops and remote users are covered under virus protection. Procedures to detect and remove any unauthorized or unsupported (e.g., freeware) applications are documented.

Alert events include the following attributes:

- Unique identifier
- Date
- Time
- Priority level identifier
- Source IP address
- Destination IP address
- Event description
- Notification sent to security team

Event status  
 Security Event Monitoring  
 Security events are logged (log files), monitored (appropriate individuals) and addressed (timely action documented and performed). Network components, workstations, applications and any monitoring tools are enabled to monitor user activity. Organizational responsibilities for responding to events are defined. Configuration checking tools are utilized (or other logs are utilized), that record critical system configuration changes. The log permission restricts alteration by administrators. Retention schedule for various logs are defined and adhered.

**(1g) Measures to restore availability and access to personal data in the event of a technical of physical incident:**

See above AVAILABILITY CONTROL  
 INCIDENT RESPONSE  
 CA Technologies documents a plan and associated procedures in case of an information security incident. The incident response plan clearly articulates the responsibilities of personnel and identifies relevant notification parties. Incident response personnel are trained. Execution of the incident response plan is tested periodically.  
 Incident Response Process  
 Information security incident management policy and procedures are documented. The incident management policy and/ or procedures include the following attributes:

- Organizational structure is defined
- Response team is identified
- Response team availability is documented
- Timelines for incident detection and disclosure are documented
- Incident process lifecycle is defined including the following discrete steps:
  - Identification
  - Assignment of severity to each incident
  - Communication
  - Resolution
  - Training
  - Testing (check frequency)
  - Reporting
- incidents must be classified and prioritized
- incident response procedures must include Customer notification to the relationship (delivery) manager or another contact listed in the contract

Escalation/Notification  
 Incident response process is executed as soon as CA Technologies is aware of the incident (irrespective of time of day).

**On Premise:**  
 Only partially applicable; Data is deleted after support case is closed.

(1h) Measures for <b>regularly testing, assessing and evaluating the effectiveness of technical and organisational measures:</b>
<p>ORGANIZATIONAL CONTROL OPERATIONS</p> <p>CA Technologies has documented IT operational procedures to ensure correct and secure operation of its IT assets.</p> <p>Operational Procedures and Responsibilities.</p> <p>Operational procedures are documented in an operations manual and successfully executed. The operations manual includes the following components:</p> <ul style="list-style-type: none"> <li>Scheduling requirements</li> <li>Handling errors (e.g., transport of data, printing, copies)</li> <li>Generating and handling special output</li> <li>Maintenance and troubleshooting of systems</li> <li>Documented procedures to manage the SLAs/ KPIs and the reporting structure for escalations</li> </ul> <p>Internal security audits are done on a regular basis at the processor including the (external) data protection officer</p>

**§ 2 Data Privacy Officers**

Name:	Contact Details:
Bonnie Yeomans	CA, Inc. 520 Madison Avenue New York, NY 10022 Assistant General Counsel and Chief Privacy Officer
Yasmin Brook	CA Deutschland GmbH Marienburgstr. 35 64297 Darmstadt Germany Senior Counsel & Global Field Privacy Officer

**§ 3 A current list of Subprocessors is maintained at <https://support.ca.com/us/product-content/admin-content/subprocessor-list.html>**

#### § 4 CA Entities providing support and maintenance in accordance with the Principal Agreement

CA Entities		
Name	Contact Details	Location
CA Argentina S.A.	Av. Alicia Moreau de Justo 400, Piso 4, Buenos Aires, Argentina C.P. C1107AAH	Argentina
CA (Pacific) Pty Ltd	6 Eden Park Drive, North Ryde, New South Wales 2113, Australia	Australia
CA Software Österreich GmbH	EURO PLAZA, Am Europlatz 5, Gebäude C, 1120 Vienna	Austria
CA Belgium SA	Da Vincilaan 11, Building Figueras, B-1935 Zaventem - Belgium	Belgium
CA Programas de Computador Participacoas Servicos Ltda	Avenida Dr Chucri Zaidan, 1240 – 26º e 27º andares, Golden Tower, Vila São Francisco, CEP 04711-130 - São Paulo/SP, Brasil - CNPJ/MF 08.469.511/0001-69	Brazil
CA Canada Company	2700 Matheson Blvd East, Suite 800E, Mississauga, Ontario, L4W 5M2, Canada	Canada
CA de Chile, S.A.S.	Avenida Providencia, 1760, piso 15, Edificio Palladio, oficina 1501, Providencia, Chile, inscrita bajo el Registro RUT 96.724.010-9	Chile
CA CZ, s.r.o	Praha 4 - Chodov, V Parku 2316/12, PSČ 148 00	Czech Republic
CA Software ApS	Borupvang 5B, DK - 2750, Ballerup, Denmark	Denmark
CA Limited (formerly CA Plc and formerly Computer Associates Plc)	Ditton Park, Riding Court Road, Datchet, Slough, Berkshire, UK, SL3 9LL	England
CA Technology R&D Limited	Ditton Park, Riding Court Road, Datchet, Slough, Berkshire, UK, SL3 9LL	England
Computer Associates Holding Ltd.	Ditton Park, Riding Court Road, Datchet, Slough, Berkshire, UK, SL3 9LL	England
Computer Associates UK Limited	Ditton Park, Riding Court Road, Datchet, Slough, Berkshire, UK, SL3 9LL	England
CA SAS	Tour Opus 12, 4 Place des Pyramides, La Défense 9, 92914 Paris La Défense Cedex, France,	France
CA Computer Associates European Holding GmbH	Marienburgstrasse 35,64297 Darmstadt, Germany	Germany
CA Computer Associates Holding GmbH	Marienburgstrasse 35,64297 Darmstadt, Germany	Germany



CA Computer Associates Technology GmbH	Marienburgstrasse 35,64297 Darmstadt, Germany	Germany
CA Deutschland GmbH	Marienburgstrasse 35,64297 Darmstadt, Germany	Germany
CA (India) Technologies Private Limited	Ground Floor, Vibgyor Tower, Plot C-62, G-Block, Bandra Kurla Complex, Bandra (East), Mumbai - 400 051	India
CA Software Israel Ltd.	CA Building, 16 Shenkar Street, P.O. Box 2207, Herzliya 46120, Israel	Israel
CA Technologies R&D Israel Ltd.	CA Building, 16 Shenkar Street, P.O. Box 2207, Herzliya 46120, Israel	Israel
CA S.r.l.	Via Francesco Sforza 3, 20080 Milano Tre, Basiglio (MI)	Italy
CA Japan, Ltd.	JA Kyosai Bldg., 2-7-9 Hirakawa-cho, Chiyoda-ku, Tokyo 102-0093, Japan	Japan
CA Services, S.A. DE C.V.	Miguel de Cervantes Saavedra 193 piso 5, Col. Granada, 11500, Ciudad de México, México; inscrita bajo el registro CSM 9505032G1	Mexico
CA Software de Mexico, S.A. de C.V	see above	Mexico
CA Europe Holding B.V.	Orteliuslaan 1001, 3528 BE, Utrecht, Netherlands	Netherlands
CA software BV	see above.	Netherlands
CA Software Holding BV	See above.	Netherlands
CA IT Management Solutions Spain, S.L.U.	WTC Almeda Park, Edificio 2, planta 4, Plaça de la Pau s/n, 08940 Cornellá de Llobregat	Spain