



## Pandemic Planning Overview

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Omgeo is committed to providing highly reliable and available solutions to our clients. One of the ways in which we support this commitment is through a comprehensive Business Continuity Program that enables Omgeo to respond to and recover from business disruptions, including a pandemic event. Accordingly, Omgeo has developed a pandemic plan which, in addition to our existing continuity plans, serves to bolster our preparedness and increase our overall resiliency.

### Strategy

The focus of Omgeo's pandemic plan remains to preserve the safety of our employees and the continued operation of our essential services throughout the period of an influenza event. Utilizing the guidance of national and global health organizations like the World Health Organization (WHO), Omgeo's pandemic plan uses pandemic phases to trigger specific actions to be implemented as and if such organizations announce that the transition to a higher level phase is occurring.

Omgeo's pandemic plan ensures the efficient and effective resumption of critical business activities in times of declining resources and possible infrastructure failures. In addition, it includes proactive and preventive measures to mitigate risks brought by the spread of infectious diseases. As with all of our plans, Omgeo's pandemic plan is frequently reviewed to ensure a high level of preparedness, and regularly exercised to develop the levels of skill and expertise that are essential in an actual incident.

In the event of a pandemic, employees may be unable to continue their assigned responsibilities due to illness. Should this occur, Omgeo will leverage its global presence and initiate defined succession plans to include transition of work and reprioritization of critical business activities, as appropriate.

### Risk Mitigation

The impact of an outbreak can be lessened if preparations are made ahead of time. In addition to a pandemic plan, Omgeo has taken measures to safeguard employees and ensure continued service and support through various measures including:

- Infection control guidelines for Omgeo employees
- Pandemic-specific communication plan for internal and external stakeholders
- Global distribution of employee safety kits
- Vendor compliance on pandemic planning
- Monitoring and surveillance
- Partnering with key resources including our shareholders, DTCC and Thomson Reuters
- Developing and implementing education, training and resource materials for employees around the globe
- Testing employees' ability to work from home
- Establishing a process to monitor employee status, including availability to work
- Assessing and modifying network capabilities

## Partnerships and Resources

Omgeo participates in various business continuity organizations and forums, and is guided in this effort by the World Health Organization (WHO), Center for Disease Control and Prevention (CDC) and other national health agencies, to ensure our plan remains current. Upon receipt of relevant information, Omgeo will make appropriate decisions to safeguard its employees and ensure the continued functioning of business operations.

Omgeo's extensive pandemic preparedness leverages the skill and expertise of our resources from across the organization to ensure continued service and support.

## FAQs

Below are answers to some frequently asked questions about Omgeo's pandemic response plan and strategy.

**Q: What does Omgeo's pandemic response plan cover?**

**A:** The plan covers many key components of pandemic planning including, but not limited to, crisis management procedures, infection control guidelines, organizational pandemic analysis, internal and external communications, increased telecommuting/teleworking/remote-working capability, impact of interdependencies, travel procedures, transport disruption, and relocation of services and/or functions.

**Q: What level of absenteeism has been assumed in your planning for influenza pandemic?**

**A:** As part of Omgeo's pandemic planning, assumptions include absenteeism as high as 50%.

**Q: How will Omgeo maintain expected levels of service and support during a pandemic?**

**A:** During a pandemic event, Omgeo will continue to monitor its service levels as is done under normal conditions and, as needed, communicate changes to clients. Continued excellence in client service and support remains a focus for Omgeo, whereby preventative measures we've put in place, employee awareness and cross-training initiatives across the organization will help us mitigate the impact of a health-related threat to our operations.

**Q: At what level in your organization is the risk from an influenza pandemic being governed?**

**A:** Executive level.

**Q: Do you have specific initiatives to enable personnel to work from home or remote locations?**

**A:** Omgeo has the capability for its professional employees to work from alternate as well as home offices. As should be assumed, our employee's ability to work from home is dependent upon local connectivity to internet access from service providers, which often are selected by our employees. The ability for employees to connect to Omgeo depends on sufficient continuity and capacity of the telecommunications provider and other infrastructure.

**Q: How will Omgeo communicate to clients in the event of a pandemic?**

**A:** A critical component of Omgeo's pandemic preparedness is our client communication plan. In the event of a pandemic, Omgeo will communicate with clients in the event of a disruption to service and support. Various communication devices will be used including phone, email and the Omgeo.com Client Center.

**Q: What is Omgeo doing to assess the preparedness of third-party suppliers during a pandemic?**

**A:** Omgeo undertakes measures to ensure that critical vendors and service providers can support the organization's business continuity objectives, to include pandemic situations. Vendors are required to provide copies of their business continuity plan and evidence of plan testing. Omgeo reviews vendors' business continuity and pandemic plans on a regular basis.