



## Progress SEC Regulation S-P Service Provider Addendum Guide for Customers

### What Customers Need to Know

The Progress SEC Regulation S-P Service Provider Addendum (“Addendum”) would, if effective, be a legal agreement between Progress Software Corporation (“Progress”) and customers (“You” or “Your”) who are subject to [SEC Regulation S-P](#). Regulation S-P governs the privacy and safeguarding of consumer financial information for certain financial institutions (“Covered Institutions”). Compliance\* is required beginning **December 3, 2025**, for larger entities (and most broker-dealers) or **June 3, 2026**, for smaller entities. The attached Addendum would supplement your existing agreement with Progress to help you comply with certain portions of Regulation S-P if Progress acts as a Service Provider and handles your Customer Information.

**\*Important Note: This Addendum would obligate Progress to help You support a small part of Your SEC Regulation S-P obligations and is not a substitute for Your broader compliance obligations. You should have an adequate compliance program that includes appropriate processes and controls to ensure compliance with SEC regulations throughout Your organization.**

### What Must Customers Do to Make the Addendum Effective?

1. **Review:** If You are a financial institution subject to SEC Regulations, carefully review:
  - [Regulation S-P](#) to see if it applies to You as a Covered Institution and to Progress as Your Service Provider; and
  - the Addendum to ensure it helps You comply with certain portions of Regulation S-P related to Progress as Your Service Provider.
2. **Make Sure it Applies:** The Addendum can be effective only if You are a Covered Institution and Progress is Your Service Provider under Regulation S-P.
3. **Provide Needed Information Sign:** Have Your authorized representative fill out and countersign the [SEC Regulation S-P Addendum Request Form](#). You will need the following information (all are required fields):
  - Company Name
  - Company Address
  - Requester Name
  - Requestor Email
  - Signer Name
  - Signer Title
  - Signer Email
  - Name of Person to be notified in case of breach in security
  - Email of Person to be notified in case of breach in security
  - Associated Products
  - Representation that the above-identified organization is required to comply with SEC Regulation S-P.
4. **Submit Form:** Once the form is filled out, signed, and sent (hit “Submit”). The form will be reviewed by our legal team, which may take a few days. If there are inaccuracies, you will be requested to submit a new form.



5. **Receive Addendum to Sign:** If everything is completed accurately, you will receive a confirmation email with a link to the document. When you complete the form, a pre-signed Addendum will be sent to the e-mail of the authorized signatory specified in the form. Please open the addendum through the e-mail notification from RightSignature, review the Addendum, and sign. Once the Addendum is executed, a copy of the countersigned Addendum is also automatically sent to Progress at [privacy@progress.com](mailto:privacy@progress.com).
6. **Effective Date:** The Addendum, if applicable, becomes effective once Progress receives the signed document at [privacy@progress.com](mailto:privacy@progress.com). **You should do this before Your corresponding compliance date listed above.**
7. **Ongoing Compliance:** Continue to comply with SEC Rules and monitor Progress's related security practices.

### What are the Key Provisions?

- **Security & Notification:** Progress will notify You within 72 hours of confirming a breach in security affecting your Customer Information, providing details and steps taken to mitigate the negative consequences of the breach in security.
- **Oversight:** You may request security documentation and audit summaries to assess Progress's information security practices.
- **Retention & Disposal:** After services end, Progress will return or provide an opportunity to retrieve Your customer information, then delete existing copies.
- **Customer Obligations:** You must configure and use Progress products in compliance with SEC Rules and applicable law and not request Progress to act in ways that would violate those rules.
- **Indemnification & Liability:** If You violate SEC Rules, you must defend and indemnify Progress for related claims.

### Questions?

For further information or assistance regarding the Addendum, contact Your Progress Account Representative.