



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. **Sign:** Have Your authorized representative fill out and countersign the [Addendum](#) (Progress has already signed it). In order to review it, you need to insert the requester’s name and e-mail address in the RightSignature form as prompted. Note at this stage the Addendum is not signed yet and you will have an opportunity to review the Addendum before signing. To fill out the Addendum and proceed with the signature, You will need the following information (all are required fields):
 - Access to the domain RightSignature.com in Your organization (also check spam filters for emails);
 - Name and email address for the person requesting the Addendum and to confirm your email address via a confirmation email sent to that email address;
 - Name and email address for the contact or email mailbox in your organization that is to be notified in case of a breach;
 - The Progress products and/or services You believe are applicable under Regulation S-P;
 - Your organization name and address; and
 - Signature, name, and title of Your authorized representative.
4. **Submit:** Once the Addendum is filled out, signed, and sent (hit “Submit Signature”). You will receive a confirmation email with a link to the document. A copy of the countersigned Addendum is also automatically sent to Progress at privacy@progress.com.



5. **Effective Date:** The Addendum, if applicable, becomes effective once Progress receives the signed document at privacy@progress.com. **You should do this before Your corresponding compliance date listed above.**
6. **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.