

# Digital Banking BC Plan

<b>Business Unit</b>	Digital Banking
<b>Description</b>	
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## BCP Introduction

This Business Continuity Plan (BCP) is designed to guide East West Bank (EWB) personnel through the response to a process disruption.

The objectives of this plan align with the overall goals of business continuity at East West Bank and include the following:

- Protect the safety of East West Bank employees, contractors, customers, and visitors
- Manage the threats and impacts associated with a disruption to key resources, including facilities, equipment, personnel, third parties, and technology
- Document strategies to effectively respond to disruptive incidents and recover in-scope processes and resources

- Enable consistent communication with internal and external stakeholders
- Protect East West Bank's reputation, operations, and relationships with key stakeholders

### **Planning Assumptions**

The following assumptions were considered when developing this plan:

- Life safety measures are prioritized above all else
- Disruptions can occur suddenly and may occur during peak operating periods
- If a disruption can be anticipated, East West Bank and the department will do what is possible to limit the impact of and prepare for the disruption
- Employees directed to work from home are equipped to do so
- Not all employees will be available to support recovery
- Third parties may also be impacted
- Facilities may not be accessible

# Business Continuity Incident Response & Reporting 📌

If you witness or are involved in a business continuity incident or disruption, you need to react accordingly:

- If the incident is an emergency, dial 9-1-1, go for help, or shout for help until you know someone has heard
- If there is a fire or an alarm has sounded, evacuate the building immediately; do not search for personal belongings and take your laptop
- Follow directions of emergency personnel, if they are present.
- Once the situation has stabilized, report the incident by calling the incident hotline.

### **When NOT to report a Business Continuity Incident**

The following incidents should not be reported on the incident hotline:

- Incidents that are confidential in nature should be reported to your manager directly
- Instances of fraud and branch robberies should follow internal protocol as directed by policy and your manager

### **What to provide when reporting a Business Continuity Incident**

When contacting the incident hotline, be prepared to provide the following information depending on the severity or nature of the incident:

- Your full name and title at East West Bank
- Your cell phone number (or the number where you can be reached)
- Your business unit/department
- Description of the incident
- Estimated date/time the incident started
- Scale of the incident (number of employees impacted, locations impacted, processes impacted)
- Was there physical damage?

- Was anyone hurt or impacted (customers or employees)?
- Were emergency personnel called and are they on the scene?
- Was law enforcement called and are they on the scene?

**Where to report a Business Continuity Incident**

- Call the BCP Hotline at 1.800.552.3887

**Escalation**

EWB to define if, when, and how issues need to be escalated and to whom (IT management, BU management, Risk management...)

## Pandemic Response

East West Bank's Enterprise Pandemic Plan, in conjunction with Departmental BCPs, are used to coordinate and manage the Bank's response to a pandemic. BCPs address disruptions to or loss of resources identified as process dependencies in the BIA. Pandemic-related impacts that extend beyond the scope of recovery strategies documented in BCPs are to be escalated to management and the Crisis Management Team.

## Initial Response and Assessment Procedures

The following tasks enable department-specific incident assessment and evaluation following activation of this plan. Familiarize the department team with the following tasks.

Order	Title	Assigned Role
1	<b>Conduct Initial Impact Assessment</b> Assess the situation to determine whether activation of the Department Recovery Team is required. Consider the following questions: <ul style="list-style-type: none"><li>• Has my team experienced casualties or injuries?</li><li>• Is anyone from my team unaccounted for?</li><li>• Has there been a loss of process dependencies?</li><li>• Do I anticipate process downtime?</li></ul> If the answer to any of the above is "yes," notify management (and the CMT, if activated) and engage the Department Recovery Team.	BC Plan Leader and Alternate
2	<b>Activate Department Recovery Team</b> Conduct an initial meeting with the Department Recovery Team. Consider the following agenda:	All Department Team Members

Order	Title	Assigned Role
	<ul style="list-style-type: none"> <li>Overview of the event and status update               <ul style="list-style-type: none"> <li>Status of employees</li> <li>Impacts to dependencies and expected downtime</li> </ul> </li> <li>Review upcoming deadlines and priorities</li> <li>Implement recovery strategies and workarounds as appropriate depending on the scenario               <ul style="list-style-type: none"> <li>Refer to Recovery Procedures</li> </ul> </li> <li>Conclusion               <ul style="list-style-type: none"> <li>Cascading messages</li> <li>Review action items</li> <li>Establish subsequent meeting cadence and location</li> </ul> </li> </ul>	
3	<b>Update Management and the CMT</b> Cascade messaging to employees with guidance, including: <ul style="list-style-type: none"> <li>Brief overview of the situation</li> <li>Established priorities for recovery</li> <li>Guidance for where and when to work</li> <li>How employees can escalate issues or concerns</li> </ul> Remind employees to direct requests for comment from outside parties to authorized media spokespersons.	BC Plan Leader and Alternate
4	<b>Maintain Contact with Management and the CMT</b> Provide status report updates (as necessary) to management and the CMT. Status items may include: <ul style="list-style-type: none"> <li>Department name</li> <li>Current life/safety status of employees</li> <li>Impacts to processes</li> <li>Required support or resources needed</li> <li>Significant issues requiring management action</li> </ul>	BC Plan Leader and Alternate

## Scope

The scope of this plan includes the following processes which are defined in the departmental Business Impact Analysis (BIA):

## Processes

## BIA: Digital Banking

### Digital Banking - Application Development

#### DESCRIPTION

The Digital Banking - Application Development Team is responsible for developing and maintaining the IT backbone for digital banking. The Application Development team is responsible for ensuring high availability of IT systems related to Digital Banking and for responding and correcting outages.

#### FINANCIAL IMPACT

There may be revenue loss in fees and product adoption, but financial impact is may occur from a process disruption. Potential financial impact to customers in the event of a platform outage could occur.

#### LEGAL/REGULATORY/CONTRACTUAL IMPACT

Depending on the interruption various levels of legal/regulatory/contractual impact could be present.

#### MAXIMUM ALLOWABLE DOWNTIME (MAD)

Tier 1: Up to 4 Hours

#### PROCESS OWNERS

Bronte He

#### PROCESS COORDINATORS

Bronte He

#### CRITICAL TIME PERIOD

None Identified

#### OPERATIONAL IMPACT

Unavailability of the Application Development team would have little to no operational impact. If unavailability of the Application Development Team occurred during an application outage, there could potentially cause disruption of digital banking applications for a prolonged period. A disruption to core applications would negatively impact customers ability to utilize Digital Banking products and prevent transactions/services from occurring.

#### ORGANIZATIONAL/REPUTATIONAL IMPACT

If customers are unable to complete transactions or services, EWB's reputation would be negatively impacted.

### Digital Banking - CUP Card

#### DESCRIPTION

General purpose reloadable prepaid cards are a product offered by banks to

#### MAXIMUM ALLOWABLE DOWNTIME (MAD)

Tier 4: Greater than 3 Days

customers. Prepaid card and debit card are very similar, except that a debit card is associated with a DDA account, but a prepaid card is not. A prepaid card requires the cardholder to first load funds to the card and then use the card for transactions. The cardholder can ONLY use the funds available on the card. This product allows EWB customers help meet their needs and strengthen our relationship with them. Customers can either bring an existing CUP card account or open a new one through the DB platform.

#### OPERATIONAL IMPACT

Minimal to no direct operational impact expected from a process disruption

#### ORGANIZATIONAL/REPUTATIONAL IMPACT

If customers are unable to complete transactions, including new accounts or existing partnership transactions, EWB's reputation would be negatively impacted

#### PROCESS OWNERS

Ken Choi

#### PROCESS COORDINATORS

Ken Choi

#### CRITICAL TIME PERIOD

None identified

#### FINANCIAL IMPACT

There may be a small revenue loss in fees and product adoption, but minimal financial impact is expected from a process disruption

#### LEGAL/REGULATORY/CONTRACTUAL IMPACT

Minimal to no direct legal/regulatory/contractual impact expected from a process disruption

## Digital Banking - Onboarding

#### DESCRIPTION

Digital on-boarding for accounts. Enrollment into new accounts. Customers would also have access to a portal where they could initiate a Mortgage account inquiry. Customers will have access to add additional accounts or services once they are on-boarded to the platform.

#### FINANCIAL IMPACT

Financial impact due to missed opportunities for new customer deposits

#### MAXIMUM ALLOWABLE DOWNTIME (MAD)

Tier 3: Up to 3 Days

#### PROCESS OWNERS

Albert Hwang

#### PROCESS COORDINATORS

Albert Hwang

#### CRITICAL TIME PERIOD

None identified

#### OPERATIONAL IMPACT

Minimal operational impact, but onboarding of new customers would be

delayed

#### LEGAL/REGULATORY/CONTRACTUAL IMPACT

Minimal to no direct legal/regulatory/contractual impact expected from a process disruption

#### ORGANIZATIONAL/REPUTATIONAL IMPACT

The reputational impact could affect the ability to get new partners and customers. Poor reviews on app store or social media could impact long term business.

## Digital Banking - Servicing

#### DESCRIPTION

Servicing of digitally onboarded customer accounts, including funding, bill pay, exiting, and troubleshooting tier 2 and above issues

#### MAXIMUM ALLOWABLE DOWNTIME (MAD)

Tier 3: Up to 3 Days

#### PROCESS OWNERS

Wendy Gallardo

#### PROCESS COORDINATORS

Wendy Gallardo

#### CRITICAL TIME PERIOD

None identified

#### FINANCIAL IMPACT

Minimal to no direct financial impact expected from a process disruption

#### OPERATIONAL IMPACT

A disruption would negatively impact the addition of new customers and EWB's ability to service existing customers, but the impact to EWB's operations would be minimal.

#### LEGAL/REGULATORY/CONTRACTUAL IMPACT

Minimal to no direct legal/regulatory/contractual impact expected from a process disruption.

#### ORGANIZATIONAL/REPUTATIONAL IMPACT

A delay in issue resolution could negatively impact customer satisfaction and cause reputational damage.

## Department Team & Call List



The Department Team listed below is responsible for executing tasks aimed at response and recovery efforts necessary to resume operations following a disruption.

Throughout the recovery effort, the Department Team should remain in contact. Below are communication methods the Recovery Team may use:

1. **Microsoft Teams Meeting:** Generate a Teams meeting at time of event
2. **Zoom:** Generate a Zoom meeting at time of event
3. **Other:** Conference call, In-person meeting

Role and Responsibilities	Primary Members	Alternate Members
<b>Department Recovery Team Leader - Digital Banking Application Development</b> Provide leadership to department personnel to recover in-scope processes; coordinate with management (and the CMT when applicable) on recovery status and requests for assistance.	Rakesh Nambiar	Bronte He
<b>Department Recovery Team Members - Digital Banking Application Development</b> Responsible for executing the recovery strategies in this plan as directed by the department leadership.	Bronte He, Bidun Tummala, Srikanth Bathoju, Sunil Kumar, Nick Grippando	
<b>Department Recover Team Leader - Onboarding</b> Provide leadership to department personnel to recover in-scope processes; coordinate with management (and the CMT when applicable) on recovery status and requests for assistance.	Albert Hwang	Ken Nguyen
<b>Department Recover Team Leader - CUP Card</b> Provide leadership to department personnel to recover in-scope processes; coordinate with management (and the CMT when applicable) on recovery status and requests for assistance.	Ken Choi	Janet Chung
<b>Digital Banking - Servicing</b> Provide leadership to department personnel to recover in-scope processes; coordinate with management (and the CMT when applicable) on recovery status and requests for assistance.	Wendy Gallardo	Nick Grippando

## Recovery Staffing Requirements 🗝️

To make changes to this section, follow the link below to the BIA.

Role	Department	Current Location	Normal Staffing Level	Less Than 1 Day	1 Day	3 Days	5 Days	2 Weeks	Total
Digital Banking AVP	Digital Banking	NCA Ops Office Palo 2	28	15	5	5	3		28
<b>Total</b>			<b>28</b>	<b>15</b>	<b>5</b>	<b>5</b>	<b>3</b>	<b>0</b>	<b>28</b>
Digital Banking Developer	Digital Banking	SCA Ops Office El Monte	6	2	2	2			6
Digital Banking Engineer	Digital Banking		3	1	1	1			3
Digital Banking FVP	Digital Banking		9	2	3	2	2		9
Digital Banking Product Management	Digital Banking		7		3	2	2		7
Digital Banking SVP & VP	Digital Banking		14	3	5	4	2		14
<b>Total</b>			<b>39</b>	<b>8</b>	<b>14</b>	<b>11</b>	<b>6</b>	<b>0</b>	<b>39</b>

## Recovery Staffing Recovery Procedures - Loss of Workforce

This section provides guidance to business unit recovery team members on how to respond to disruptions impacting availability of specific roles and/or temporary loss of workforce.

Order	Title	Assigned Role
1	<b>Confirm Scope of Personnel Loss and Consider Alternate Staffing Options</b> Determine the extent of personnel loss which may include increased absenteeism based on the situation. <ul style="list-style-type: none"> <li>Identify impacted personnel and assess what assistance can be provided to them and/or their families (if any).</li> <li>Identify constraints impeding the implementation of recovery procedures.</li> <li>Assess impacts to personnel fulfilling roles specified in the Recovery Staffing Requirements.</li> <li>Consider internal and external alternate staffing resources that could be utilized to staff the most critical recovery priorities, if necessary.</li> </ul>	Department Recovery Team Members - Digital Banking Application Development

Order	Title	Assigned Role
2	<b>Prioritize Staff for Time-Sensitive Activities</b> Based on the roles and processes impacted, it may be necessary to prioritize the more impactful or time-sensitive activities to reduce the operational and reputational implications of the disruption. Review the Scope section of this BCP to confirm priorities for recovery.	Department Recovery Team Members - Digital Banking Application Development
3	<b>Notify HR of Staff Needs (If Necessary)</b> If an extended or permanent loss of one or more roles is identified, notify HR to initiate the replacement process. This may include internal or external talent acquisition and training procedures. Provide HR with the following information: <ul style="list-style-type: none"><li>• Role title</li><li>• Description of duties</li><li>• Education, training, experience, and certifications required</li><li>• Necessary systems experience</li></ul>	Department Recovery Team Leader - Digital Banking Application Development

# Application Dependencies

## Application Dependencies

### Digital Banking

## Adobe Experience Mgr (AEM) used by Digital

Banking - Application Development

### WORKAROUNDS

Customers could use the mobile app, contact customer service, or visit a branch to complete transactions. In some cases, bypass links to core applications can be provided to customers.

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

AEM hosts the public facing website for Velobank. An outage would cause impacts to customers and prevent access to core digital banking applications.

### DATA LOSS TOLERANCE (RPO)

Tier 3: Up to 3 Days

## Anypoint Studio used by Digital Banking - Application

Development

### WORKAROUNDS

No workarounds

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

Integration Platform for API Management

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## AWS used by Digital Banking - Application Development

### WORKAROUNDS

Services can be moved back on prem or re-deployed via another geographic AWS service platform

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

Amazon Web Services provides a number of services and infrastructure related to the Digital Bank Application; Hosts Mule Soft and Node.JS

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## AWS Elastic Kubernetes Services used by Digital

Banking - Application Development, Digital Banking - CUP Card, Digital

Banking - Onboarding, and Digital Banking - Servicing

### WORKAROUNDS

Inclusive in AWS App, workaround will follow AWS

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

Cloud Infrastructure to support container services. No user account, part of AWS app.

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## Azure Cloud / MS Azure used by Digital Banking -

Application Development

### WORKAROUNDS

Data can be moved on prem or redeploy on another geographic cloud system

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

SQL Database that stores customer transfer tier limits; customer information and data

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## business.eastwestbank.com used by Digital Banking

- Application Development

### WORKAROUNDS

Customers could use the mobile app, contact customer service, or visit a branch to complete transactions. In some cases, bypass links to core applications can be provided to customers.

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

An outage to the Customer Facing Website would prevent customers from accessing core banking applications and information about the bank.

### DATA LOSS TOLERANCE (RPO)

Tier 3: Up to 3 Days

## CheckFree PartnerCare (Consumer) / FraudNet

used by Digital Banking - Servicing

### WORKAROUNDS

Customers could visit a branch or EWB can provide information directly to clients, if requested

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

Bill Pay Admin Tool to monitor online payments.

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## Consumer Online & Mobile Banking

used by

Digital Banking - Application Development

### WORKAROUNDS

Customers could contact customer service or visit a branch to complete transactions. In some cases, bypass links to core applications can be provided to customers.

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

Consumer Online and Mobile Banking contains functionality of Digital Bank through a system of APIs and vendor hosted/cloud hosted applications.

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## Digital Bank Micro Services API (Velo API)

used by Digital Banking - Application Development, Digital Banking -

Onboarding, and Digital Banking - Servicing

### WORKAROUNDS

No workarounds

### REQUESTED RTO

Tier 2: Up to 1 Day

### RTO JUSTIFICATION

Library of services used across DB products

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## Digital Banking Velo/EWB Android

used by

Digital Banking - Application Development

### WORKAROUNDS

Customers can use mobile website, contact customer service, or visit a branch for service

### REQUESTED RTO

Tier 3: Up to 3 Days

### RTO JUSTIFICATION

Velo mobile app hosted by Android

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day



## Digital Banking Velo/EWB iOS used by Digital

Banking - Application Development

### WORKAROUNDS

Customers can use mobile website,  
contact customer service, or visit a  
branch for service

### REQUESTED RTO

Tier 3: Up to 3 Days

### RTO JUSTIFICATION

Digital Banking application hosted by  
Apple

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## Digital BusinessExpress Android used by Digital

Banking - Application Development

### WORKAROUNDS

Customers can use mobile website,  
contact customer service, or visit a  
branch for service

### REQUESTED RTO

Tier 3: Up to 3 Days

### RTO JUSTIFICATION

Digital Business Velo Banking application  
hosted by Android

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## Digital BusinessExpress iOS used by Digital Banking

- Application Development

### WORKAROUNDS

Customers can use mobile website, contact customer service, or visit a branch for service

### REQUESTED RTO

Tier 3: Up to 3 Days

### RTO JUSTIFICATION

Digital business application hosted by Apple

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## digital.eastwestbank.com used by Digital Banking -

Application Development

### WORKAROUNDS

Customers could use the mobile app, contact customer service, or visit a branch to complete transactions. In some cases, bypass links to core applications can be provided to customers.

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

An outage to the Customer Facing Website would prevent customers from accessing core banking applications and information about the bank.

### DATA LOSS TOLERANCE (RPO)

Tier 3: Up to 3 Days

## DocuSign Web used by Digital Banking - Onboarding and Digital Banking - Servicing

### WORKAROUNDS

Digital Banking - CUP Card: Terafina sells EWB Docusign. If Docusign were unavailable, EWB would contact Terafina to resolve the outage.

Digital Banking - Onboarding, Digital Banking - Servicing: Leverage in-person services if signatures or other documentation needs to be acknowledged

### REQUESTED RTO

Tier 2: Up to 1 Day

### RTO JUSTIFICATION

Used to obtain digital signatures

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## eastwestbank.com - CN used by Digital Banking - Application Development

### WORKAROUNDS

Customers could use the mobile app, contact customer service, or visit a branch to complete transactions. In some cases, bypass links to core applications can be provided to customers.

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

An outage to the Customer Facing Website would prevent customers from accessing core banking applications and information about the bank.

### DATA LOSS TOLERANCE (RPO)

Tier 3: Up to 3 Days

## Eastwestbank.com - US used by Digital Banking - Application Development

### WORKAROUNDS

Customers could use the mobile app, contact customer service, or visit a branch to complete transactions. In some cases, bypass links to core applications can be provided to customers.

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

An outage to the Customer Facing Website would prevent customers from accessing core banking applications and information about the bank.

### DATA LOSS TOLERANCE (RPO)

Tier 3: Up to 3 Days

## FIGMA Design used by Digital Banking - Application Development

### WORKAROUNDS

No workarounds

### REQUESTED RTO

Tier 4: Greater than 3 Days

### RTO JUSTIFICATION

Front end design for EWB websites and digital banking applications

### DATA LOSS TOLERANCE (RPO)

Tier 4: Greater than 3 Days

## FIS - Zelle used by Digital Banking - Application Development

### WORKAROUNDS

No workaround

### REQUESTED RTO

Tier 2: Up to 1 Day

### RTO JUSTIFICATION

Customer Impact: Zelle is a person-to-person solution that gives consumers the flexibility to send money, request money, or split a request for money to multiple people at the same time.

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## GitHub used by Digital Banking - Application Development

### WORKAROUNDS

Limited workaround; have to access source code manually

### REQUESTED RTO

Tier 3: Up to 3 Days

### RTO JUSTIFICATION

Application Development uses GitHub for source control

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## Helpshift used by Digital Banking - Application Development

### WORKAROUNDS

Customers could call Customer Support via phone

### REQUESTED RTO

Tier 3: Up to 3 Days

### RTO JUSTIFICATION

Customer Service application to engage Digital Banking Customer Support

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## ImagePoint used by Digital Banking - Application Development and Digital Banking - Servicing

### WORKAROUNDS

No workarounds

### REQUESTED RTO

Tier 3: Up to 3 Days

### RTO JUSTIFICATION

Used for mobile remote deposit image capture

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## InAuth used by Digital Banking - Application Development, Digital Banking - Onboarding, and Digital Banking - Servicing

### WORKAROUNDS

No workarounds

### REQUESTED RTO

Tier 3: Up to 3 Days

### RTO JUSTIFICATION

Customer recognition and acknowledgement to reduce fraudulent logins

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## JPush used by Digital Banking - Application Development

### WORKAROUNDS

Direct email or other communication to customers

### REQUESTED RTO

Tier 4: Greater than 3 Days

### RTO JUSTIFICATION

Sends push notifications to customers related to Digital Banking Services

### DATA LOSS TOLERANCE (RPO)

Tier 3: Up to 3 Days

## Lexis Nexis Bridger Insight XG Service - US & HK

used by Digital Banking - Application Development and  
Digital Banking - Onboarding

### WORKAROUNDS

Use manual ID verifications

### REQUESTED RTO

Tier 2: Up to 1 Day

### RTO JUSTIFICATION

Used for OFAC checks

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## Lexis Nexis Digital Banking APIs

used by Digital  
Banking - Application Development and Digital Banking - Onboarding

### WORKAROUNDS

Use manual ID verifications

### REQUESTED RTO

Tier 2: Up to 1 Day

### RTO JUSTIFICATION

Used for ID verification

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## MPP (aka Node.JS)

used by Digital Banking - Application  
Development

### WORKAROUNDS

Redeploy Node J Server to alternate AWS  
server or pull application on prem

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

Technology that services as integration  
gateway to all Digital Banking Services

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## OKTA CIAM

used by Digital Banking - Application Development,  
Digital Banking - Onboarding, and Digital Banking - Servicing

### WORKAROUNDS

No workarounds

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

Used for customer multi-factor authentication

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## Plaid Auth

used by Digital Banking - Application Development

### WORKAROUNDS

No workarounds. Wait for application to recover

### REQUESTED RTO

Tier 4: Greater than 3 Days

### RTO JUSTIFICATION

Account authorization for digital banking applications to outside accounts.

### DATA LOSS TOLERANCE (RPO)

Tier 4: Greater than 3 Days



## Products.eastwestbank.com used by Digital Banking

- Application Development

### WORKAROUNDS

Customers could use the mobile app, contact customer service, or visit a branch to complete transactions. In some cases, bypass links to core applications can be provided to customers.

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

An outage to the Customer Facing Website would prevent customers from accessing core banking applications and information about the bank.

### DATA LOSS TOLERANCE (RPO)

Tier 3: Up to 3 Days

## Salesforce Mobile App used by Digital Banking -

Application Development

### WORKAROUNDS

Use online portal or wait for application to recover

### REQUESTED RTO

Tier 4: Greater than 3 Days

### RTO JUSTIFICATION

Mobile application portal for customer relation managers

### DATA LOSS TOLERANCE (RPO)

Tier 4: Greater than 3 Days

## Salesforce Mobile App used by Digital Banking -

Application Development

### WORKAROUNDS

Use online portal or wait for application to recover

### REQUESTED RTO

Tier 4: Greater than 3 Days

### RTO JUSTIFICATION

Mobile application portal for customer relation managers

### DATA LOSS TOLERANCE (RPO)

Tier 4: Greater than 3 Days

## Salesforce.com used by Digital Banking - Application

Development

### WORKAROUNDS

Manual validations of transactions and new applications for products

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

Digital Bank admin console for CSC, Fraud Activity Monitoring and KYC cases management

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## Splunk Core used by Digital Banking - Application Development

### WORKAROUNDS

Manual monitoring of system components; some automated alerts from other systems and applications would continue if Splunk was down

### REQUESTED RTO

Tier 1: Up to 4 Hours

### RTO JUSTIFICATION

Splunk is used to monitor all digital bank systems for performance and outages

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## Terafina used by Digital Banking - Application Development and

Digital Banking - Onboarding

### WORKAROUNDS

No workarounds

### REQUESTED RTO

Tier 3: Up to 3 Days

### RTO JUSTIFICATION

Online on-boarding for customers

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## Thales Batch Data Tokenization (BDT) used

by Digital Banking - Application Development

### WORKAROUNDS

No workarounds

### REQUESTED RTO

Tier 2: Up to 1 Day

### RTO JUSTIFICATION

Data tokenization. Thales Batch Data Tokenization (BDT) Tool is implemented in EWB data center. Vormetric Tokenization Service (VTS) tool is implemented in EWB AWS cloud.

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## Thales eSecurity-Data Tokens used by Digital

Banking - Application Development, Digital Banking - Onboarding, and

Digital Banking - Servicing

### WORKAROUNDS

No workarounds

### REQUESTED RTO

Tier 2: Up to 1 Day

### RTO JUSTIFICATION

Data tokenization system

### DATA LOSS TOLERANCE (RPO)

Tier 1: Up to 4 Hours

## Trulioo Global Gateway used by Digital Banking -

Application Development and Digital Banking - Onboarding

### WORKAROUNDS

Leverage manual identification checks/verifications for Chinese customers during onboarding when possible

### REQUESTED RTO

Tier 2: Up to 1 Day

### RTO JUSTIFICATION

Used for identification and verification of digital Identities, mainly for customers in China and Hong Kong

### DATA LOSS TOLERANCE (RPO)

Tier 2: Up to 1 Day

## Velobank.com used by Digital Banking - Application

### Development

#### WORKAROUNDS

Customers could use the mobile app, contact customer service, or visit a branch to complete transactions. In some cases, bypass links to core applications can be provided to customers.

#### REQUESTED RTO

Tier 1: Up to 4 Hours

#### RTO JUSTIFICATION

An outage to the Customer Facing Website would prevent customers from accessing core banking applications and information about the bank.

#### DATA LOSS TOLERANCE (RPO)

Tier 3: Up to 3 Days

# Application Disruption Recovery Procedures - Loss of Technology

This section provides guidance to department personnel on how to respond to disruptions impacting access to application dependencies and/or temporary loss of technology.

Order	Title	Assigned Role
1	<b>Assess Impacts of Application Disruption</b> Assess the impacts on department operations based on the affected applications and estimated duration of the disruption, if known. The assessment may require involvement from the IT team.  Key aspects of the assessment include: <ul style="list-style-type: none"> <li>• What applications are impacted?</li> <li>• What processes are impacted?</li> <li>• What is the likely duration of the disruption?</li> <li>• Who is/should be involved in the response?</li> </ul>	Department Recovery Team Members - Digital Banking Application Development

Order	Title	Assigned Role
	This and other pertinent information should be shared with the IT team if they are not involved in the assessment.	
2	<b>Implement Workarounds</b> Implement workarounds and monitor their effectiveness. Escalate issues to the Department Recovery Team Coordinator and Leader.	Department Recovery Team Members - Digital Banking Application Development
3	<b>Support Application Recovery</b> Coordinate with IT to support the implementation of IT disaster recovery procedures that may require end-user validation or support.  Once the application has been recovered, evaluate data loss which may have occurred. Ask IT to confirm if data loss is permanent. Identify and implement strategies to re-create the lost data.  In the event of data loss, or if manual processes resulted in hard copy data that needs to be entered into systems, begin the process of correcting the application's data integrity issue. If this is impossible, choose a point in time to recover. Coordinate this decision with IT and other departments impacted by the application disruption.	Department Recovery Team Members - Digital Banking Application Development

## Department Dependencies

### Department Dependencies

#### Digital Banking

## Branch Operations & Retail and Business Banking

used by Digital Banking - Application Development, Digital

Banking - CUP Card, Digital Banking - Onboarding, and Digital Banking - Servicing

### DESCRIPTION

Centralized Operations provides general support to customer facing associates. Handles Tier 2 and above issue escalation in partnership with the Digital Bank Technology Team. Performs general servicing tasks for requests coming into the Digital Bank Platform.

### WORKAROUNDS

If Centralized Operations was disrupted, Digital Bank would implement workarounds based on impacts to systems and/or customer facing processes.

### REQUESTED RTO

## Cyber Security & Risk Management

used by

Digital Banking - Application Development

### DESCRIPTION

Digital Banking relies on EITRM for Information Security support in the form of Security Incident/Event Monitoring, Vulnerability Management, Threat Management, and Incident Response.

### WORKAROUNDS

None

### REQUESTED RTO

## IT Operations - Application Support used by

Digital Banking - Application Development, Digital Banking - CUP Card,

Digital Banking - Onboarding, and Digital Banking - Servicing

### DESCRIPTION

Provides technical support for all production applications in the bank, with the exception of all internally developed applications. Recovers applications in the event of a disaster.

### WORKAROUNDS

None

### REQUESTED RTO

## IT Operations - Network/Telecom used by Digital

Banking - Application Development

### DESCRIPTION

Supports Wide Area Networks (WAN) and Local Area Networks (LAN) that Digital Banking Uses. Network Security and Network Routing & Switching related to Digital Banking services.

### WORKAROUNDS

None

### REQUESTED RTO



## IT Operations - NOC used by Digital Banking - Application Development

### DESCRIPTION

The NOC operates 24 hours a day, 7 days a week and is responsible for monitoring systems and networks, analyzing problems, troubleshooting and communicating with Subject Matter Experts, and tracking problems through resolution. The NOC team monitors and manages enterprise co-located Data Centers. This includes: Monitoring the health and environment of data centers that extend to all equipment residing in EWB offices, branches, and data centers. Working with carriers when network incidents occur.

### WORKAROUNDS

None

### REQUESTED RTO

## Department Dependency Contacts

Assign the primary and alternate (if applicable) points-of-contact for the upstream departments identified as department dependencies.

Role and Responsibilities	Primary Members	Alternate Members
<b>Branch Operations &amp; Retail Banking</b>	Nick Grippando	Julianna Valenzuela
<b>Cyber Security &amp; Risk Management</b>	Diane Wang	Matt Fearin
<b>IT Operations - Application Support</b>	Justin Adler	Shelley Helton, Rusty Hill
<b>IT Operations - Network/Telecom</b>	Lan Tran	Ricky Tse, Ken Ma, Bryan Fung
<b>IT Operations - NOC</b>	Edwin Wong	Binh Tran

# Department Dependency Disruption Recovery Procedures

This section provides guidance to department personnel on how to respond to a disruption impacting other EWB departments.

Order	Title	Assigned Role
1	<b>Connect with Department Contact</b> Communicate with the points of contact for the impacted department (if available).  Gather the following disruption-related information: <ul style="list-style-type: none"> <li>• Description</li> <li>• Estimated duration</li> <li>• Extent (full or partial)</li> <li>• Recovery strategy implemented</li> <li>• Requirements to support recovery</li> </ul> This information should be shared with the Department Recovery Team.	Department Recovery Team Leader - Digital Banking Application Development
2	<b>Implement Workarounds</b> Implement available workarounds while the upstream department is recovered. Monitor the effectiveness and availability of workarounds. Escalate issues to the Department Recovery Team Coordinator and Leader.	Department Recovery Team Members - Digital Banking Application Development

## Equipment and Other Dependencies



### Equipment and Other Dependencies

## Equipment and Other Dependency Disruption Recovery Procedures

Use this section to provide guidance to department personnel on how to respond to disruptions impacting specialized equipment, hard copy records, key personnel, single points of failure, and other resources. A workaround strategy must be provided for each dependency.

Order	Title	Assigned Role
1	<b>[Insert/Add Workarounds]</b> Insert/Add the workarounds for impacted specialized equipment, hard copy records, key personnel, single points of failure, and other resources. (if applicable)	Department Recovery Team Members - Digital Banking Application Development

# Location Dependencies 🔒

## Location Dependencies

### Digital Banking

**NCA Ops Office Palo 2** used by Digital Banking -  
 Application Development

ALTERNATE EWB LOCATION  
 Associates to work remotely

**SCA Ops Office El Monte** used by Digital Banking -  
 Servicing

ALTERNATE EWB LOCATION  
 Debit Card Handling would relocate to  
 Monterey Park - Ramona Branch 83

## SCA Ops Office Parsons used by Digital Banking - Onboarding

ALTERNATE EWB LOCATION  
Associates to work remotely

# Location Disruption Recovery Procedures - Loss of Primary Location

This section provides guidance to department personnel on how to respond to a location that is damaged, inaccessible, or unavailable for use (including inclement weather situations) and/or temporary loss of primary location.

Order	Title	Assigned Role
1	<b>Initiate Work from Home Procedures</b> Initiate work from home procedures as it is the primary response strategy for all EWB processes in the event of a location disruption. If working from home is untenable, an alternate work location that is accessible and equipped to support department personnel should be identified.	Department Recovery Team Leader - Digital Banking Application Development
2	<b>Relocate to Alternate EWB Locations, if Applicable</b> Initiate recovery to the alternate EWB location, if applicable. Escalate relocation issues to the Department Recovery Team Coordinator and Leader.	Department Recovery Team Leader - Digital Banking Application Development
3	<b>Coordinate with IT</b> Work with IT to secure additional equipment needed to enable personnel to work from home or from an alternate EWB location.	Department Recovery Team Leader - Digital Banking Application Development

# Third Party Dependencies

## Third Party Dependencies

### Digital Banking

#### Adobe Systems Incorporated used by Digital Banking -

Application Development

**THIRD PARTY DEPENDENCE**

Adobe provides customer facing digital content for users of Digital Banking Services

**WORKAROUNDS**

Alternate digital content can be created

#### Alipay (Hong Kong) Holding Limited used by Digital

Banking - Application Development

**THIRD PARTY DEPENDENCE**

Alipay provides monetary transfer services for the Digital Banking Application

**WORKAROUNDS**

No Workaround

#### Brillio, LLC used by Digital Banking - Onboarding and Digital Banking -

Servicing

**THIRD PARTY DEPENDENCE**

Business and technology consulting, implementation and maintenance services

**WORKAROUNDS**

Users can leverage Mobile Banking

## Dun & Bradstreet. Inc. Also (D&B Hoovers, Inc.)

### THIRD PARTY DEPENDENCE

Provides business data and data management solutions

### WORKAROUNDS

Divert high risk customers into the manual revue queue

## Ensignten, Inc.

used by Digital Banking - Onboarding and Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

Tag Management and Mobile Tag Management

### WORKAROUNDS

No workarounds

## Fidelity Information Services, LLC (FIS, fka Metavante Corporation, MAIN Record)

used by Digital Banking - Application Development, Digital Banking - CUP Card, Digital Banking - Onboarding, and Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

FIS provides core banking via IBS systems and support to digital banking

### WORKAROUNDS

None

## Fiserv Solutions, LLC.

used by Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

DB payment provider

### WORKAROUNDS

No workarounds

## FT Synergy (fka Pintec Technology Holdings Limited)

used by Digital Banking - Onboarding and Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

Design, develop and deploy Velo Mobile onboarding app for Digital Bank.

### WORKAROUNDS

If Pintec is down users can leverage Online Banking

## Helpshift, Inc. used by Digital Banking - Application Development and Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

Customer Service application to engage  
Digital Banking Customer Support

### WORKAROUNDS

Customers could call Customer Support  
via phone

## i2c Inc.

### THIRD PARTY DEPENDENCE

Provides electronic payments and  
integrated commerce solutions

### WORKAROUNDS

No workarounds

## InfoIMAGE of California, Inc. used by Digital Banking - Onboarding and Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

Print, Mail and Electronic Presentment  
Services

### WORKAROUNDS

Onboarding: Statements or other  
information will be provided via mail  
delivery  
Servicing: There is no workaround if this  
service was not available

## Melissa Data, Inc. used by Digital Banking - Onboarding and Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

One Time Phone Number Classification

### WORKAROUNDS

No workarounds

## MuleSoft, Inc. (a Salesforce company) used by Digital Banking - Application Development and Digital Banking - Onboarding

### THIRD PARTY DEPENDENCE

Integration Platform for API Management

### WORKAROUNDS

No workarounds

## SalesForce.Com, Inc used by Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

Digital Bank admin console for CSC,  
Fraud Activity Monitoring and KYC cases  
management

### WORKAROUNDS

Manual validations of transactions and  
new applications for products

## Syniverse Technologies, LLC used by Digital Banking -

Onboarding and Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

Mobile telecommunications  
interoperability

### WORKAROUNDS

No workarounds

## VXI Global Solutions LLC. used by Digital Banking - Onboarding and Digital Banking - Servicing

### THIRD PARTY DEPENDENCE

Call center to support digital banking  
customers

### WORKAROUNDS

No workarounds

# Third Party Disruption Recovery Procedures - Loss of Third Party Vendors

This section provides guidance to department personnel on how to respond to a disruption impacting one or more third parties, vendors, suppliers, or service providers.

Order	Title	Assigned Role
1	<p><b>Connect with the Third Party</b> Communicate with the points of contact for the impacted third party (if available).</p> <p>Gather the following disruption-related information:</p> <ul style="list-style-type: none"> <li>• Description</li> <li>• Estimated duration</li> </ul>	<p>Department Recovery Team Leader - Digital Banking Application Development</p>



Order	Title	Assigned Role
	<ul style="list-style-type: none"> <li>• Extent (full or partial)</li> <li>• Recovery strategy implemented</li> <li>• Requirements to support recovery</li> </ul> <p>This information should be shared with the Department Recovery Team.</p>	
2	<b>Implement Workarounds</b> Implement and monitor the effectiveness of workarounds. Escalate issues to the Department Recovery Team Coordinator and Leader.	Department Recovery Team Leader - Digital Banking Application Development
3	<b>Source Alternate Vendors/Suppliers, as Necessary</b> If workaround procedures cannot sustain operations for the duration of the anticipated third party downtime or the third party appears to permanently disrupted, consider sourcing alternate vendors/suppliers. Work with Vendor Management to determine the possibility, implications, cost, and other factors of engaging new third parties.	Department Recovery Team Leader - Digital Banking Application Development

## Return to Business as Usual (BAU) Procedures

As recommended by management, departments will use the tasks described in this section to return to full operations conducting business as usual.

Order	Title	Assigned Role
1	<b>Report Recovery Status to Management and the CMT</b> Report operational status and requirements to management and the CMT.	Department Recovery Team Leader - Digital Banking Application Development
2	<b>Conduct After-Action Review</b> The Department Recovery Team should meet to assess the response to the disruption. Document issues faced and lessons learned, and	Department Recovery Team Members - Digital

Order	Title	Assigned Role
	recommend opportunities for improving response procedures. Assign action items to implement approved actions. If appropriate, participate in wider after-action review meetings. Collaborate with affected business processes to conduct a performance evaluation to contribute to lessons learned and identify opportunities for improvement to the response process.	Banking Application Development
3	<b>Update Business Continuity Plan</b> Based on the outcomes of the After-Action Review and Actions, ensure that this business continuity plan is updated.	Department Recovery Team Leader - Digital Banking Application Development

## Contact Information

### Department Team Call List Contact Information

**First Name** Srikanth  
**Last Name** Bathoju  
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**Department** Digital Banking  
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**Work Phone**  
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**Mobile Phone**

**First Name** Ken  
**Last Name** Choi  
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**Department** Mortgage Banking  
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**Bank-issued** 6264769778  
**Mobile Phone**

**First Name** Janet  
**Last Name** Chung  
**Job Title** VP-Credit Card  
Operations Manager  
**Department** Credit Card Operations  
**Location** SCA Ops Office Parsons  
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**First Name** Nick  
**Last Name** Grippando  
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Retail & Digital Banking  
Op  
**Department** Centralized Operation  
Adm  
**Location** SCA Ops Office El Monte  
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**First Name** Wendy  
**Last Name** Gallardo  
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Operations Manager  
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Adm  
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**First Name** Bronte  
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**First Name** Albert  
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bank.com  
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**First Name** Rakesh  
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Director-Chief Digital  
Officer  
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estBank.com  
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ank.com  
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## Department Dependency Contact Information

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Information Technology  
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**First Name** Bryan  
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**First Name** Matt  
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Mgt  
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**First Name** Nick  
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**First Name** Lan  
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**First Name** Rusty  
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**First Name** Ricky  
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## External Contact Information

Use this section to add any key external contact information needed for this department.

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## Supporting Documentation

Use this section to add any additional information necessary to aid or expedite recovery of the department.

**File Name**
**Tags**
[System Diagram - Digital Banking Arch....pdf](#)

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## ATTESTATION - READ BEFORE APPROVING THE PLAN



As the Business Continuity Plan (BCP) Owner, I have reviewed the information in the business continuity plan and **ATTEST** to the following:

Business Continuity Plan:

1. The **Department Recovery Teams** have been appropriately staffed with assigned associates as primary and alternate members.
2. If applicable to this plan, The **Department Dependency Contacts** have been added for every department dependency identified in the business impact analysis.
3. If applicable to this plan, **External Contacts** have been added for every third-party dependency (vendor, supplier, service provider) identified in the business impact analysis.

Business Impact Analysis (BIA):

1. The **Processes** documented in the **Scope** of this plan comprehensively represent the functions performed by the department and the Maximum Allowable Downtimes (MAD) assigned for each process accurately represents the department's maximum tolerable outage.
2. The **Recovery Staffing Requirements** comprehensively represent the appropriate roles, locations, and staffing levels needed to perform the documented processes.
3. The **Application Dependencies** comprehensively represent the applications required to support the documented processes. The Requested RTOs correspond directly to the business processes they support and are sufficiently justified in the RTO Justification.
4. If applicable for this plan, the **Department Dependencies** comprehensively represent the upstream relationships that are required to perform the documented department processes, and a workaround has been documented for each listed department.
5. If applicable for this plan, the **Equipment and Other Dependencies** (people/key person risk, specialized equipment, hard copy records, single points of failure) comprehensively represent the other dependencies required to support the documented processes.
6. The **Location Dependencies** comprehensively represent all the locations where the documented processes are being performed and an alternate EWB location has been identified for each listed location.
7. If applicable for this plan, the **Third-Party Dependencies** (vendors, suppliers, service providers) comprehensively represent the third-party relationships that are required to perform the documented department processes.

## History Log

Version	Date	User	Action	Change Summary	
	January 24, 2025	Joel Navarro (Updated by template)	Updated, Deleted, and Added		+
	January 17, 2025	Amanda Feest	Updated		+
V1	January 17, 2025	Amanda Feest	Approval	<b>Approved by Amanda Feest</b> Approved administratively by EBCO after data migration to the new template. Expiration date set to match the original approval and expiration date from the "current" plan.	<a href="#">View PDF</a>