Matillion Limited

SOC 3

Independent Service Auditor's Report on Management's Description of a Service Organization's System Relevant to Security

August 1, 2024 – July 31, 2025

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INDEPENDENT SERVICE AUDITOR'S REPORT

The Management Company of Matillion Limited
Two, New Bailey Street, Stanley Street
Salford M3 5GS, United Kingdom

Scope

We have examined Matillion Limited's ("Matillion", or "the Company") description of controls for its Matillion Platform (Matillion Data Loader, Change Data Capture, Matillion ETL, Data Productivity Cloud) system and related transactions throughout the period August 1, 2024 through July 31, 2025, based on the criteria for a description of a service organization's system in DC Section 200, *2018 Description Criteria for a Description of a Service Organization's System in a SOC 2 Report (With Revised Implementation Guidance – 2022)*(AICPA, Description Criteria), and the suitability of the design and operating effectiveness of controls stated in the description throughout the period August 1, 2024 through July 31, 2025, to provide reasonable assurance that Matillion's service commitments and system requirements were achieved based on the trust service criterion for security set forth in TSP section 100, *2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy (With Revised Points of Focus — 2022),* in AICPA *Trust Services Criteria*.

Subservice Organizations

Matillion utilizes subservice organizations for the following services and applications:

Subservice Organizations	***Services and Applications***
Amazon Web Services (AWS)	Infrastructure-as-a-Service and cloud computing services
Google	Infrastructure-as-a-Service and enterprise applications
Microsoft – Azure including Dynamics 365	Cloud computing and enterprise applications
Salesforce	Customer relationship management
Atlassian	Source code and version control and software project management
Auth0	Authentication tools
Okta	Conditional multifactor authentication, access for SaaS applications
Recurly	Billing engine and related tools
Oracle America (NetSuite)	Application hosting services
HiBob	Human Resources information system

Matillion Limited's Responsibilities

Matillion is responsible for its service commitments and system requirements and for designing, implementing, and operating effective controls within the system to provide reasonable assurance that Matillion's service commitments and system requirements were achieved. In section II, Matillion has provided its assertion titled "Assertion of Matillion Limited Service Organization Management" about the description and the suitability of design and operating effectiveness of controls stated therein. Matillion is also responsible for preparing the description and assertion, including the completeness, accuracy, and method of presentation of the description and assertion; providing the

services covered by the description; selecting the applicable trust services criteria and stating the related controls in the description; identifying the risks that threaten the achievement of the service organization's service commitments and system requirements; and for having a reasonable basis for its assertion by performing an assessment of the effectiveness of the controls within the system.

Ascend Audit & Advisory's Responsibilities

Our responsibility is to express an opinion, based on our examination, on management's assertion that controls within the system were effective throughout the period to provide reasonable assurance that the service organization's service commitments and system requirements were achieved based on the applicable trust services criteria. Our examination was conducted in accordance with attestation standards established by the AICPA. Those standards require that we plan and perform our examination to obtain reasonable assurance about whether management's assertion is fairly stated, in all material respects. We believe that the evidence we obtained is sufficient and appropriate to provide a reasonable basis for our opinion.

We are required to be independent and to meet our other ethical responsibilities in accordance with relevant ethical requirements relating to the engagement. Our examination included:

- Obtaining an understanding of the system and the service organization's service commitments and system requirements
- Assessing the risks that controls were not effective to achieve Matillion's service commitments and system requirements based on the applicable trust services criteria
- Performing procedures to obtain evidence about whether controls within the system were effective to achieve Matillion's service commitments and system requirements based on the applicable trust services criteria

Our examination also included performing such other procedures as we considered necessary in the circumstances.

Inherent Limitations

The description is prepared to meet the common needs of a broad range of report users and may not, therefore, include every aspect of the system that individual users may consider important to meet their informational needs. There are inherent limitations in the effectiveness of any system of internal control, including the possibility of human error and the circumvention of controls.

Because of their nature, controls may not always operate effectively to provide reasonable assurance that the service organization's service commitments and system requirements are achieved based on the applicable trust services criteria. Also, the projection to the future of any conclusions about the suitability of the design and operating effectiveness of controls is subject to the risk that controls may become inadequate because of changes in conditions or that the degree of compliance with policies or procedures may deteriorate.

Opinion

In our opinion, Matillion's assertion that the controls over the system were effective throughout the period August 1, 2024 through July 31, 2025, to provide reasonable assurance that its principal service commitments and system requirements were achieved based on the applicable trust services criteria is fairly stated, in all material respects.

Ascend Audit & Advisory

St. Petersburg, FL

September 4, 2025

ASSERTION OF MATILLION LIMITED SERVICE ORGANIZATION MANAGEMENT

We have prepared the description of the Matillion Platform System ("system" or "the system") throughout the period August 1, 2024 through July 31, 2025, ("the description") based on the criteria for a description of a service organization's system in DC section 200, *2018 Description Criteria for a Description of a Service Organization System in a SOC 2 Report (With Revised Implementation Guidance – 2022)* (AICPA, *Description Criteria*). The description is intended to provide report users with information about the system that may be useful when assessing the risks arising from interactions with Matillion Service Organization's system, particularly information about system controls that Matillion has designed, implemented, and operated to provide reasonable assurance that its service commitments and system requirements were achieved based on the trust services criterion relevant to security set forth in TSP section 100, *2017 Trust Services Criteria for Security, Availability, Processing Integrity, Confidentiality, and Privacy (With Revised Points of Focus — 2022)*(AICPA *Trust Services Criteria*).

Matillion utilizes subservice organizations for the following services and applications:

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The description indicates that complementary subservice organization controls that are suitably designed and operating effectively are necessary, along with controls at Matillion, to achieve Matillion's service commitments and system requirements based on the applicable trust services criterion of security. The description presents Matillion's controls, the applicable trust services criteria, and the types of complementary subservice organization controls assumed in the design of Matillion's controls. The description does not disclose the actual controls at the subservice organization. The description indicates that complementary user entity controls that are suitably designed and operating effectively are necessary, along with controls at Matillion, to achieve Matillion's service commitments and system requirements based on the applicable trust services criteria. The description presents Matillion's controls, the applicable trust services criteria, and the complementary user entity controls assumed in the design of Matillion's controls.

We confirm, to the best of our knowledge and belief, that:

a. The description presents Matillion's system that was designed and implemented throughout the period of August 1, 2024 to July 31, 2025, in accordance with the description criteria.

   i. The description contains the following information:

      (1) The types of services provided.

      (2) The components of the system used to provide the services, which are the following:

      - *Infrastructure* – The physical and hardware components of a system (facilities, equipment, and networks).

- *Software* – The programs and operating software of a system (systems, applications, and utilities).
- *People* – The personnel involved in the operation and use of a system (developers, operators, users, and managers).
- *Procedures* – The automated and manual procedures involved in the operation of a system.
- *Data* – The information used and supported by a system (transaction streams, files, databases, and tables).

(3) The boundaries or aspects of the system covered by the description.

(4) How the system captures and addresses significant events and conditions.

(5) The process used to prepare and deliver reports and other information to user entities and other parties.

(6) If information is provided to, or received from, subservice organizations or other parties, how such information is provided or received; the role of the subservice organization and other parties; and the procedures performed to determine that such information and its processing, maintenance, and storage are subject to appropriate controls.

(7) For each category being reported on, the applicable trust services criteria and the related controls designed to meet those criteria, including, as applicable, complementary user-entity controls contemplated in the design of the Company's system.

(8) For subservice organizations presented using the carve-out method, the nature of the services provided by the subservice organization; each of the applicable trust services criteria that are intended to be met by controls at the subservice organization, alone or in combination with controls at the Company, and the types of controls expected to be implemented at carved-out subservice organizations to meet those criteria; and for privacy, the types of activities that the subservice organization would need to perform to comply with privacy commitments.

(9) Any applicable trust services criteria that are not addressed by a control at the Company or a subservice organization and the reasons, therefore.

(10) Other aspects of the Company's control environment, risk assessment process, information and communication systems, and monitoring of controls that are relevant to the services provided and the applicable trust services criteria.

(11) Relevant details of changes to the Company's system during the period covered by the description.

ii. The description does not omit or distort information relevant to the Company's system while acknowledging that the description is prepared to meet the common needs of a broad range of users and may not, therefore, include every aspect of the system that each individual user may consider important to his or her own particular needs.

b. The controls stated in the description were suitably designed throughout the period August 1, 2024 to July 31, 2025, to provide reasonable assurance that Matillion's service commitments and system requirements would be achieved based on the applicable trust services criteria, if its controls operated effectively throughout that period, and if the subservice organization and user entities applied the complementary controls assumed in the design of Matillion's controls throughout that period.

c. The controls stated in the description operated effectively throughout the period August 1, 2024 to July 31, 2025, to provide reasonable assurance that Matillion's service commitments and system requirements were achieved based on the applicable trust services criteria if complementary subservice organization controls and complementary user entity controls assumed in the design of Matillion's controls operated effectively throughout that period.

By: /S/ Graeme Park

Graeme Park
Chief Information Security Officer

September 4, 2025

DESCRIPTION OF MATILLION'S PLATFORM SYSTEM

Company Overview

Matillion is a global company, founded in Manchester. Matillion has a globally distributed workforce working between dual headquarters in Denver, CO and Manchester (UK). Thousands of enterprises including Cisco, DocuSign, Pacific Life, Slack, and TUI trust Matillion to move, transform and automate their data.

Products and Services Overview

Matillion has a suite of applications – Matillion Hub, Matillion Change Data Capture (CDC), Matillion Data Loader (MDL) and Matillion ETL (METL). On June 27, 2023, Matillion launched Matillion Data Productivity Cloud which provides a SaaS (software-as-a-service) and Hybrid-SaaS experience to customers, along with additional functionality and connectivity. In March 2024, Matillion introduced AI capabilities into its products and AI initiatives throughout the organization to enhance data engineering capabilities by leveraging the power of large language models (LLMs) and retrieval augmented generation (RAG). Matillion is leveraging AI to solve data problems that its customers have in relation to sentiment analysis, preparing draft answers to tickets, and extracting insights off of unstructured data (e.g., PDF reports or call transcripts). Matillion uses AI for data and metadata discovery, and also to streamline data literacy in the authoring process to provide documentation to the user describing the job/pipeline. AI integration enhances customers' data engineering efforts with AI Prompt Engineering, transforming data processing ability across OpenAI, Azure, and AWS platforms. Matillion components add valuable data context to pipelines, leveraging Large Language Model (LLM) technology to generate responses to user prompts. Matillion integrates smoothly with leading LLMs such as OpenAI Chat GPT, AWS Bedrock, Azure Open AI, and Snowflake Cortex offering flexible input and output options in text or JSON formats while ensuring effortless storage in the client cloud data platform.

On June 4, 2024, Matillion announced the Company was bringing no-code Generative AI (GenAI) to Snowflake users with new GenAI capabilities and integrations with Snowflake Cortex AI, Snowflake ML Functions, and support for Snowpark Container Services. The newly launched GenAI components enable powerful out-of-the-box use cases, including generating product descriptions, extracting key information from customer reviews, summarizing lengthy reports, and translating content for global audiences.

On June 12, 2024, Matillion extended its no-code Generative AI capabilities to Databricks users, introducing Retrieval-Augmented Generation (RAG) and pushdown AI components that run natively within Databricks pipelines. These no-code/low-code components are designed to execute entirely through pushdown processing on the Databricks Data Intelligence Platform, enabling a wide range of use cases including feature engineering (e.g., generating categorical fields from free text for churn prediction), extracting insights, summarizing content, performing sentiment analysis, and classifying text. The integration allows Databricks users to incorporate advanced AI and LLM-powered transformations directly into their workflows, leveraging Databricks SQL and Delta Lake with minimal configuration. Matillion's Data Productivity Cloud for Databricks, launched in March 2024, complements these capabilities by providing no-code ingestion, transformation, and orchestration specifically optimized for Databricks environments, with consolidated billing and transparent credit-based pricing.

On June 3, 2025, Matillion launched **Maia**, an AI-based intelligent assistant in the Data Productivity Cloud.

Maia

Maia is Matillion's AI-based intelligent assistant in the Data Productivity Cloud, designed to assist data engineers in creating pipelines faster, more accurately, and with greater productivity. Maia leverages large language models (LLMs) and Matillion's deep domain expertise to recommend transformations, generate pipeline steps, and provide guided assistance throughout the data pipeline development lifecycle.

Maia offers an interactive experience by embedding natural language capabilities directly into Matillion Designer. In addition to its role in the Designer, Maia is available across other areas of the platform, including the Observability Dashboard to support root cause analysis (RCA), the Custom Connector to help build new connectors from natural language descriptions, and the High-Code editor to provide context-aware code generation, refactoring, and guidance for advanced SQL, Python, or dbt development. Users can describe their objectives in plain English, and Maia interprets this intent to when used outside the Designer, Maia applies the same natural language and AI-driven capabilities to debugging, connector creation, and complex code editing—making it a consistent AI assistant across the Data Productivity Cloud experience., significantly reducing development time and complexity.

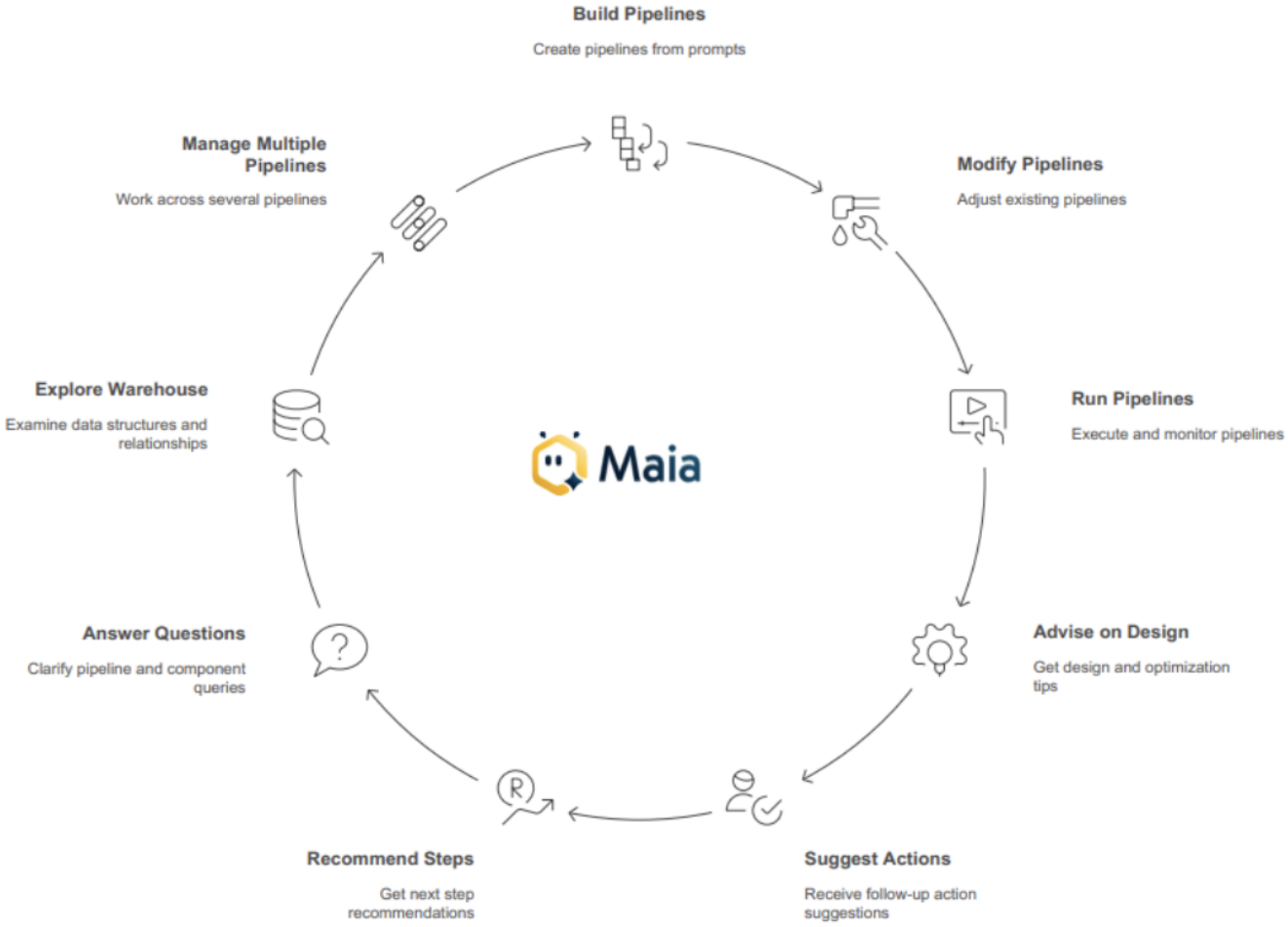
Key Capabilities of Maia:

- Natural Language to Pipeline: Translates plain-language prompts into full pipeline configurations or transformation logic.
- Pipeline Creation and Configuration: Maia can create and configure end-to-end data pipelines from natural language prompts, and also modify existing pipelines or their components. This feature aims to make data engineering accessible to users with less technical expertise
- Intelligent Suggestions: Offers real-time suggestions, syntax completion, and context-aware tips as users build their pipelines.
- Learning from Context: Understands pipeline metadata and component usage to provide relevant and personalized recommendations.
- Documentation Support: Generates pipeline documentation and descriptions to promote data literacy and transparency.
- Data Quality and Proactive Monitoring: Maia can proactively and continuously monitor data for anomalies, apply data quality tests, and automatically fix issues in real time to prevent downstream disruptions.

Design & Integration

Maia is embedded natively within the ***Matillion Designer*** UI and other components of the Data Productivity Cloud, including the Observability Dashboard, Custom Connector, and High-Code editor, and does not operate as a standalone product. It interacts with Matillion's metadata and leverages secure APIs within the control plane. Maia supports multiple deployment models (SaaS and hybrid), aligning with the Matillion platform's security architecture. Its interactions are encrypted, and user interactions are scoped to authorized sessions. Maia is regularly improved through feedback and usage patterns without accessing customer datasets, ensuring responsible AI deployment.

Diagram illustrating Maia's Capabilities



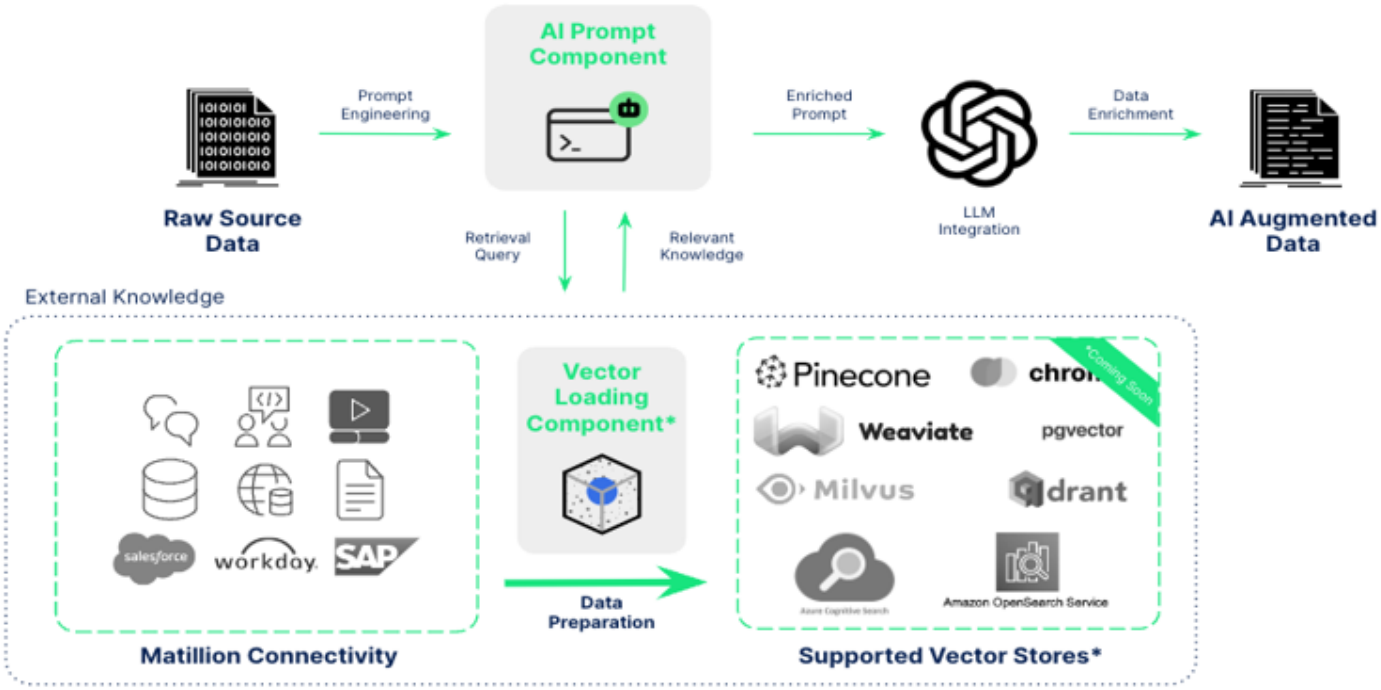
Key benefits of AI Prompt Components and Retrieval Augmented Generation with Matillion:

Prompt Engineering and operationalize the use of Large Language Models inside of a data pipeline to harness the power of Generative AI in data transformations with all existing Matillion connectivity and transformation.

Address intelligent data integration tasks across various domains – one component, many use cases:

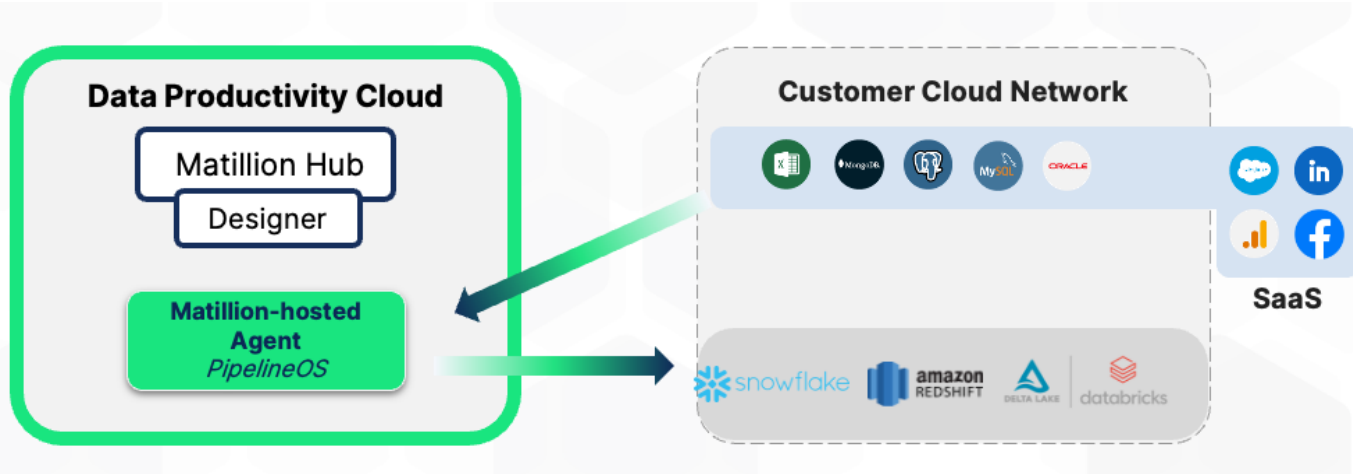
- Sentiment Analysis: Extract insights from unstructured data like reviews and social media
- Ticketing: Enhance workflows with AI-powered response drafting and issue prioritization
- Insights Extraction: Automatically analyze PDFs to identify key trends and patterns
- Data Analytics: Transform unstructured data into actionable insights for Customer 360, FP&A, and Sales
- Business Workflows: Streamline tasks and improve decision-making by integrating AI across operations

Vendor agnostic and flexible, the Prompt Component supports OpenAI ChatGPT, AWS Bedrock (many LLMs supported), Azure OpenAI. Leverage the latest and most powerful LLMs in client data pipelines. Matillion also has a load of RAG and Vector DB related components to support AI pipelines as well.



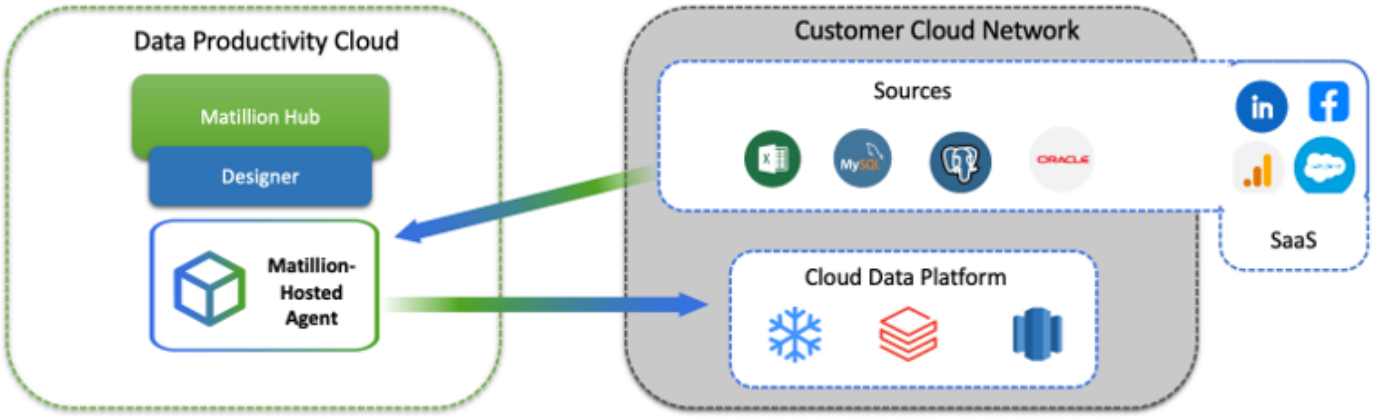
Matillion Data Productivity Cloud

Matillion Data Productivity Cloud provides fully SaaS and hybrid cloud SaaS options designed to empower customers in managing their data effectively. With this platform, users create data pipelines that support data movement, data transformation, and data orchestration. Furthermore, it offers robust admin and operational visibility to manage the entire platform end to end. It is important to note that Matillion does not function as a data storage platform. Customer data is not stored within Matillion's systems. Instead, the platform focuses on the orchestration and management of data processes with pushdown architecture (pushdown ELT and AI) to ensure all customer data is within the customer's cloud data platform. Any configurations, user information, and metadata stored within the system are encrypted both at rest and in transit, ensuring the highest level of data security. Matillion Data Productivity Cloud represents Matillion's central solution platform, incorporating a range of applications and components that deliver diverse data services and deployment options. Hosted within Matillion's secure cloud environment, the platform seamlessly integrates with customer networks and virtual networks using standard secure communication protocols. This integration enables efficient and secure data exchange between customer systems and the Matillion platform. Matillion Data Productivity Cloud leverages the power of advanced data management capabilities, enabling streamlined data processes, enhanced productivity, and timely data insights.

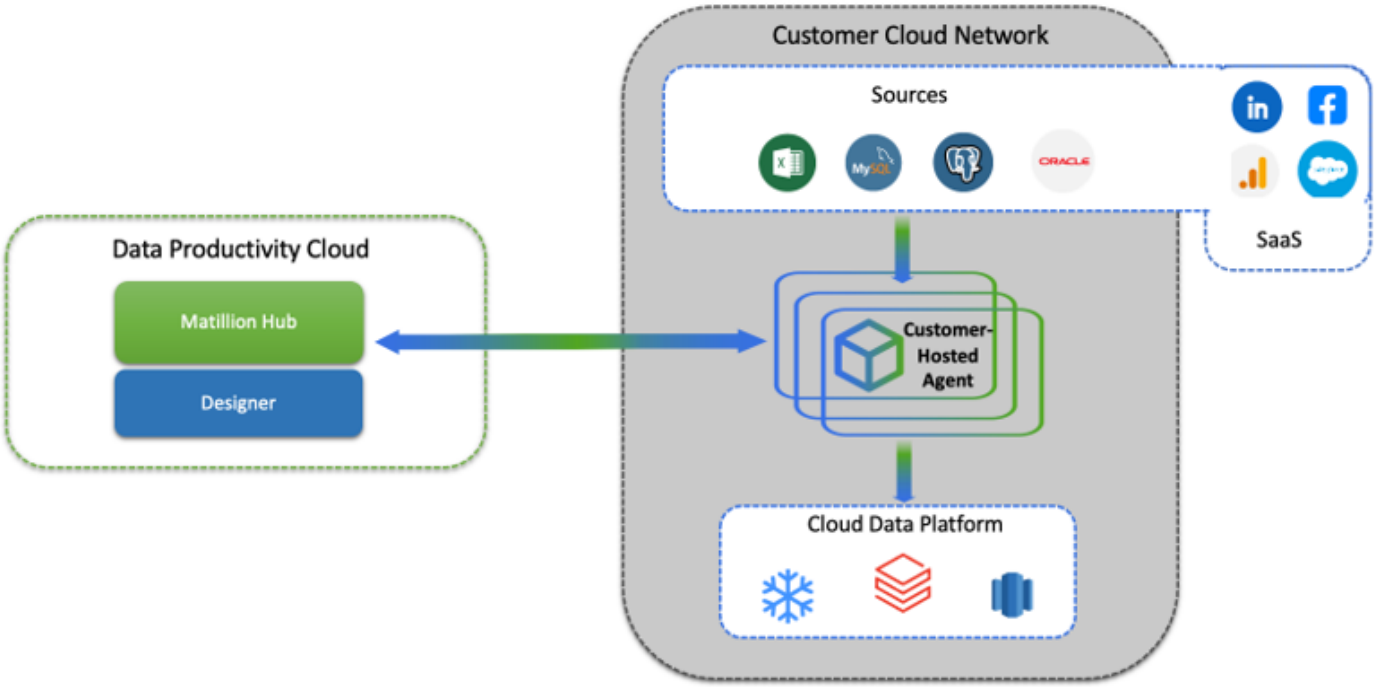


The Matillion Data Productivity Cloud is a multi-tenant platform designed for secure, scalable, and flexible data integration. Core services include the Designer, Scheduling Service, Agent Gateway, Git integration, and API Gateway. These components coordinate to support data pipeline design, orchestration, and execution across two deployment models: ***Full SaaS*** and ***Hybrid SaaS***.

- ***Full SaaS Deployment*** – Matillion hosts and manages the Agent and project metadata. The hosted Agent securely connects to customer data warehouses and sources, as well as integrates with Matillion's Hosted Vault for secret management. Customers are not responsible for Agent deployment, upgrades, or monitoring.



- ***Hybrid SaaS Deployment*** – Customers deploy and manage their own Agent within their cloud environment (e.g., AWS or Azure). This model uses the customer's native secret vault and provides greater control over infrastructure, scaling, and data residency.



The platform incorporates Git-based version control directly within the Designer, enabling collaborative pipeline development without local code installation.

Workflow Execution

- ***Authentication & Secret Management*** – Secure user authentication with secrets stored either in Matillion's Hosted Vault or the customer's native vault.
- ***Pipeline Design & Management*** – Pipelines are created in the Designer, which integrates with the Component Information Service and Git repositories for metadata and collaboration.
- ***Agent Management*** – The Agent Manager deploys, upgrades, and monitors Agents, ensuring continuous connectivity.
- ***Orchestration & Observability*** – The Workflow Execution Engine coordinates pipeline runs, while monitoring features track performance.
- ***Scheduling & Task Execution*** – The Scheduler initiates execution, with task requests routed via the Agent Gateway.
- ***API Gateway*** – Secure API endpoints allow programmatic access to pipeline data, with enforced authentication and authorization.
- ***Data Connectivity*** – Agents, depending on deployment model, connect to supported data sources via the Connector Service while maintaining encryption in transit.

Deployment Model Summary

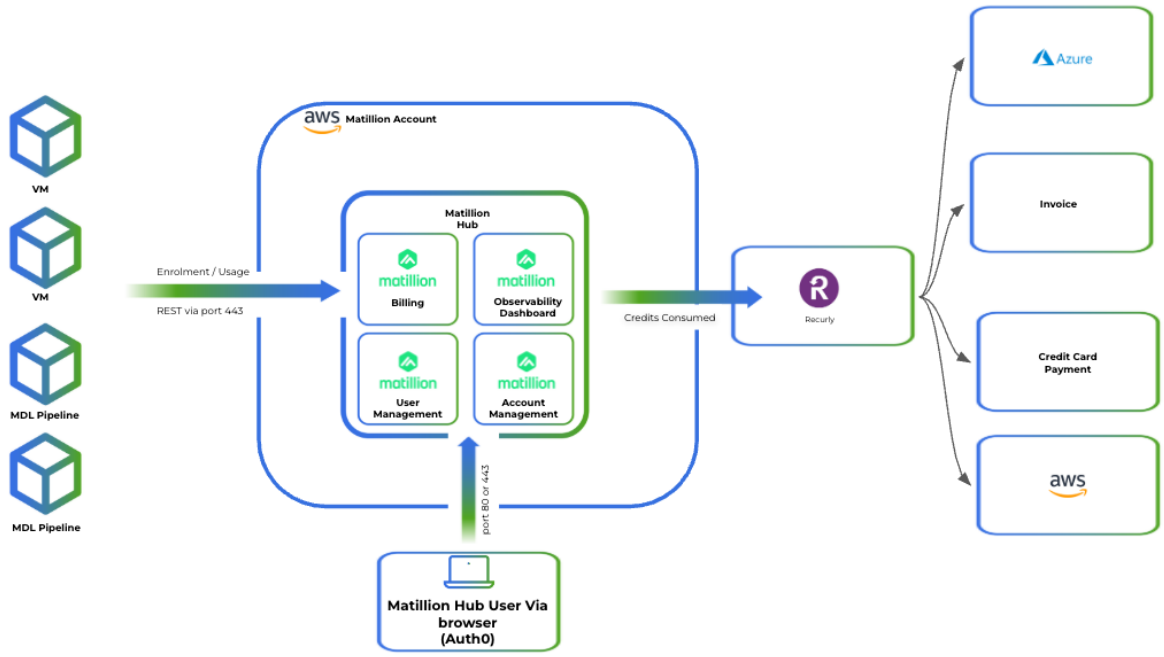
- ***Full SaaS*** – Simplifies setup, with Matillion managing control plane, data plane, scaling, and security.
- ***Hybrid SaaS*** – Customer-managed Agents in their cloud provide complete control over infrastructure, data sovereignty, and scalability, while retaining central SaaS-based management.

Applications in Matillion Data Productivity Cloud

Hub – serves as the central place for administering and monitoring Matillion Data Productivity Cloud. This Web based application offers a multi-tenant environment, allowing users to access and manage their specific environments and data pipelines efficiently. One of the key features of Hub is its ability to aggregate metadata from customer environments and data pipelines. This enables real-time visibility and observability into the performance of pipeline runs, as well as any failures that may occur. Providing comprehensive insights into pipeline execution and status empowers Hub users to quickly identify and address any issues, ensuring smooth data processing and minimizing downtime. In addition to monitoring pipeline performance, Hub also provides information on credit consumption. This allows users to track and manage their credit usage, ensuring optimal utilization of resources within Matillion Data Productivity Cloud.

Furthermore, Hub offers visibility into the status of Matillion ETL instances. Users can easily monitor the health and availability of their Matillion ETL instances, enabling proactive management and troubleshooting as needed. The capabilities of Hub allow users to efficiently administer and monitor their data workflows within Matillion Data Productivity Cloud. The centralized nature of Hub enhances operational efficiency, enabling users to gain valuable insights, address issues promptly, and optimize the utilization of their Matillion resources. Hub does not collect or store customer data, only the data described in the Control Plane section.

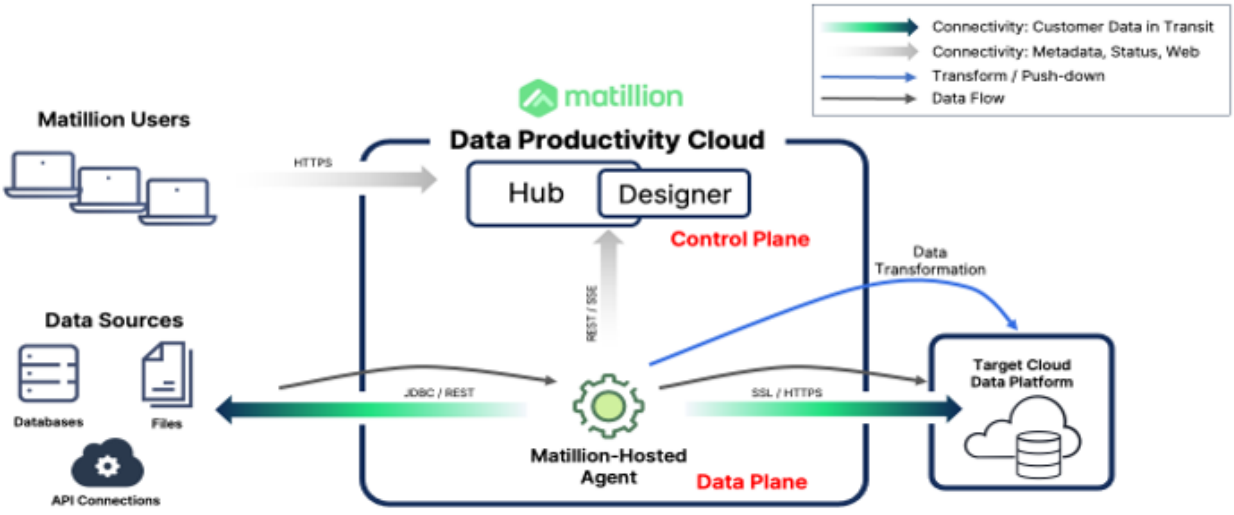
Hub Architecture



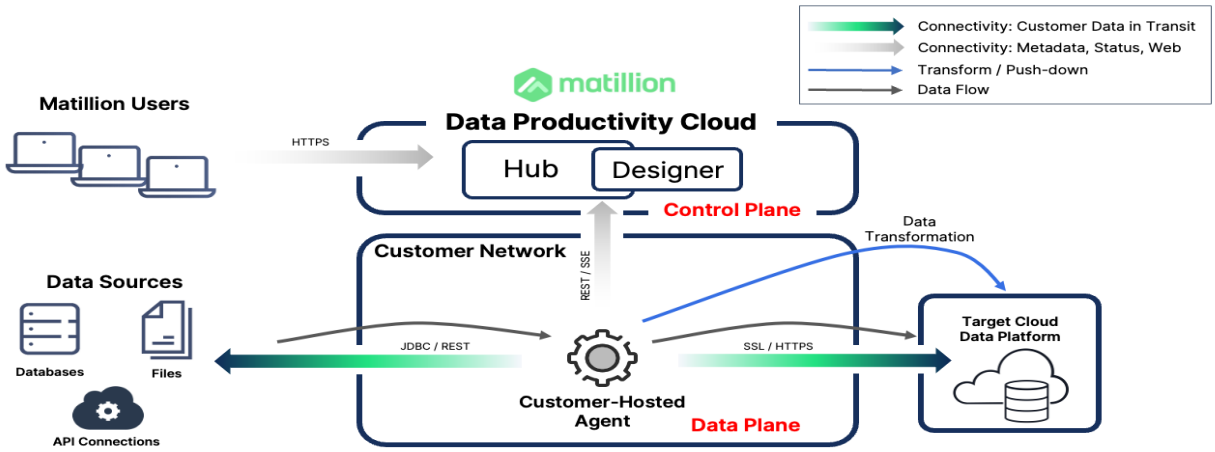
Designer – is a comprehensive and fully managed data pipeline builder. This SaaS Web based application empowers users to create robust and efficient data integration workflows with ease.

As a multi-tenant platform, Designer allows multiple users and teams to work concurrently, leveraging the power of collaborative data integration. With its intuitive interface, users can visually design and configure data pipelines, including data extraction, transformation, and loading processes. The Designer application simplifies complex data integration tasks, enabling users to efficiently handle diverse data sources and formats. Management, upgrades, and performance of the Matillion control plane are meticulously handled by Matillion's Site Reliability Engineering (SRE) team. This ensures that the control plane remains highly available, reliable, and performs optimally, all while being transparent to valued customers. With Matillion taking care of the operational aspects, users can focus on designing and implementing their data integration workflows without worrying about infrastructure management. Designer offers a powerful and streamlined experience for building data integration pipelines. By leveraging its capabilities, users can accelerate their data integration projects, streamline data processes, and unlock the true value of their data assets.

Designer Deployment and Connectivity (Fully Managed)



Designer Deployment and Connectivity (Hybrid Cloud)



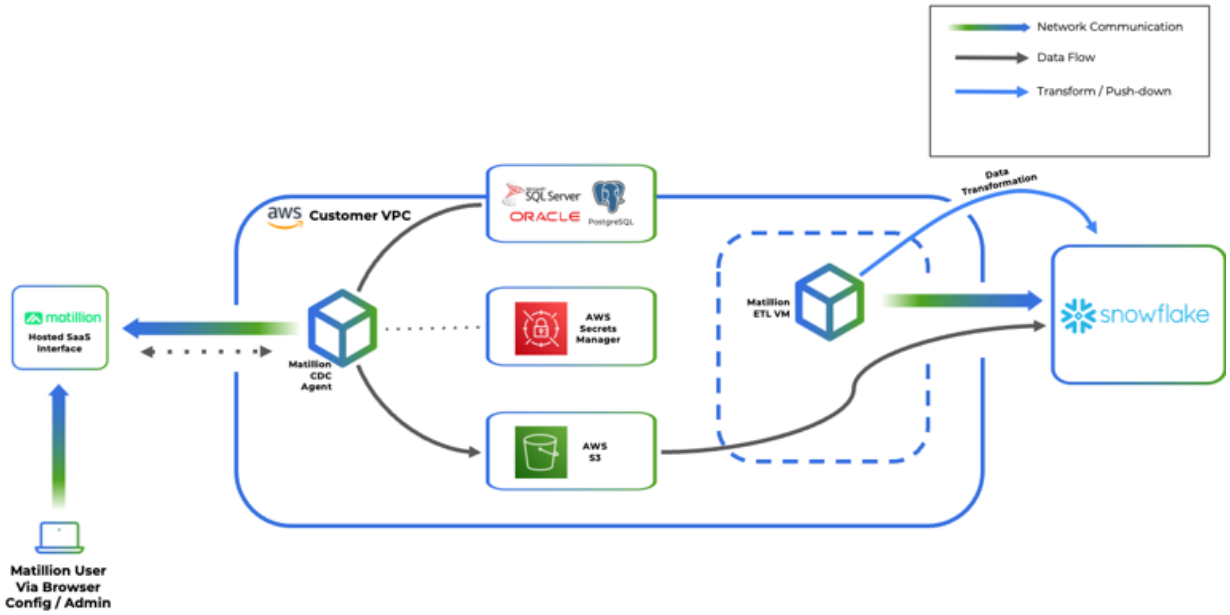
The Designer relies on Agents to connect to data sources and targets using the access credentials provided by the customer, which are stored inside the Matillion Secrets Manager or using OAuth securely at pipeline runtime. The Agent(s) connect to the Hub to retrieve pipelines and schedules, and to provide pipeline execution status for system observability. Agents connect directly to sources and targets, limiting the "hops" of data in transit. Agents leverage the encryption protocols employed by the sources and targets, as configured by users at design time. Transformations are orchestrated inside the cloud data platform target after data is landed (ELT).

Designer pipelines can operate with two processing models: Matillion-hosted agents, which orchestrate data pipelines from Matillion's control plane, or with customer-hosted Agents in the data plane (inside customers' VPC) to ensure data jurisdiction and isolation requirements are met. These processing models are not mutually exclusive; customers may choose to operate in both modes for different workloads.

A key feature of Designer is Data Sampling. Matillion Data Productivity Cloud includes a design-time sampling capability. Users have the ability to see a sample of data in its post-processing state, should a given component be executed. This is intended to ease the pipeline design process by allowing users to preview the results of pipelines without executing them.

Data Loader Batch – is a versatile and user-friendly Software-as-a-Service (SaaS) application designed to facilitate the rapid configuration and execution of batch data load and replication pipelines. With its multi-tenant architecture, multiple customers can leverage the capabilities of Data Loader Batch simultaneously. One of the key benefits of Data Loader Batch is that the management, upgrades, and performance tuning of the application are expertly handled by Matillion's Site Reliability Engineering (SRE) team. This ensures the application remains highly available, performs optimally, and incorporates the latest enhancements and updates. Users can enjoy the benefits of continuous improvements and reliability without any disruption or additional management responsibilities. With Data Loader Batch, users can simplify and streamline their batch data loading and replication tasks, saving time and effort. By leveraging the power of this SaaS application, users can focus on the data itself and its utilization, while Matillion's SRE team takes care of the operational aspects, ensuring a seamless and efficient experience. Data Loader Batch is a reliable and efficient solution for managing data loading and replication pipelines, allowing users to accelerate their data integration processes and derive maximum value from their data.

Data Loader Batch Deployment and Connectivity

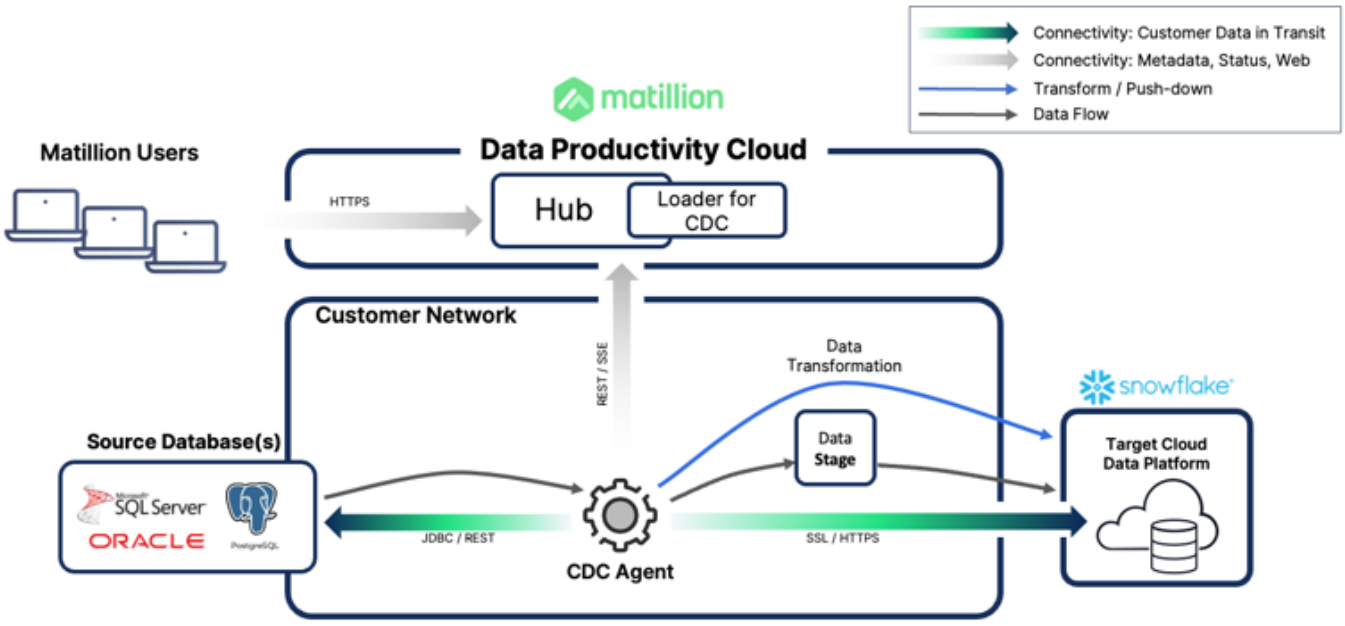


Data Loader Batch pipelines operate with a fully-managed processing model from customer-dedicated virtual resources inside Matillion's control plane. The Loader connects to data sources and targets using the access credentials provided by the customer, which are stored inside the Matillion Secrets Manager or using OAuth securely at pipeline runtime. The service transmits data using a temporary, isolated runner in the Matillion VPC to pull data from the source and then stages the data to a staging area inside the customer's cloud data platform. The runner service then loads the data into the target table in the target data platform; this connectivity is always encrypted via JDBC TLS or HTTPS.

Data Loader Change Data Capture (CDC) – is a powerful and versatile Hybrid Software-as-a-Service (SaaS) application offered by Matillion. It provides customers with a seamless and efficient solution to configure and enable change data capture processes. With its multi-tenant architecture, multiple customers can leverage the capabilities of CDC concurrently. The application simplifies the configuration and activation of change data capture, allowing users to efficiently capture and track changes made to their data sources in near real-time. By identifying and capturing data modifications, CDC enables users to stay up-to-date with the latest changes in their data, facilitating timely and accurate data integration and replication processes. Matillion takes responsibility for the management, upgrades, and performance of the CDC control plane through its dedicated Site Reliability Engineering (SRE) team. This ensures that the control plane remains highly available, performs optimally, and incorporates the latest enhancements and updates.

With Change Data Capture, customers leverage the captured changes for various use cases, such as data synchronization, data integration, and real-time analytics. The application streamlines the process of capturing and managing changes, providing users with the flexibility and agility needed to respond quickly to evolving data requirements.

Data Loader Change Data Capture Deployment and Connectivity



CDC pipelines are processed by CDC Agents, which are configured from the CDC Web UI but reside in the customer's data plane.

System Description

Principal Services Provided

Matillion is the data pipeline platform that empowers data teams to build and manage pipelines faster for AI and analytics – at scale. Matillion allows data engineers to take advantage of AI capabilities and code-optional workflows, harness the processing power of their cloud data platform and cloud providers, and leverage generative AI to enhance data that is used for operational and advanced analytics. Thousands of enterprises including Cisco, DocuSign, Slack, and TUI trust Matillion for a wide range of use cases from insights and operational analytics, to data science, machine learning, and AI. Matillion has dual headquarters in Denver (U.S.) and Manchester (UK).

Principal Service Commitments and System Requirements

Service commitments to user entities are documented and communicated in the End User License Agreement ("EULA") as well as in the description of the product (METL) and the service offering (Data Productivity Cloud) provided online. Service commitments are generally standardized and include, but are not limited to:

- Confidentiality provisions regarding proprietary technical and business information of both Matillion and its customers
- Define and manage the delivery of services including resources and scheduling
- Service usage level and performance from anonymized aggregate data

In achieving its service commitments and system requirements, Matillion has implemented various internal controls to ensure security such as:

- Use of a strong authentication for client portal
- Role-based access controls and continuous review and monitoring of key applications and the network
- Security monitoring infrastructure including intrusion detection, centralized log management and alerting
- Incident response program designed to minimize the impact of incidents and protect resources

Matillion establishes operational requirements that support the achievement of service commitments, relevant laws and regulations, and other system requirements. Such requirements are communicated in Matillion's system policies and procedures, system design documentation, and contracts with customers. Information security policies define an organization-wide approach to how systems and data are protected. These include policies around how the service is designed and developed, how the system is operated, how the internal business systems and networks are managed, and how employees are hired and trained.

Components of the System

The System consists of five key components organized to achieve a specified objective. The five components are categorized as follows:

- Infrastructure – physical hardware components of a system (facilities, equipment, and networks)
- Software – programs and operating software of a system (systems, applications, and utilities)
- People – personnel involved in the operation and use of a system (developers, operators, users and managers)
- Processes and Procedures – automated and manual procedures involved in the operation of a system
- Data – information used and supported by a system (transaction streams, files, databases, and tables). Using the above framework

Infrastructure

Matillion's products and platforms are hosted in a range of different options. Authentication is via a Web portal and leverages a third party authentication provider to manage users and groups with serverless code executed in Matillion's environment and user records stored within an AWS Aurora database. Users can utilize a limited version of the METL product set that is architected using REST APIs to manage their data pipelines. Third party integrations are built into MDL often using OAuth for authentication to data sources. A scheduler is implemented using serverless technologies to execute defined jobs at a certain point in time. These jobs are run in containerized environments.

Within Hybrid deployment models and CDC, an Agent is located in the customer VPC that communicates back to the Matillion Hub. In a fully managed model, the functionality provided by the agent is executed within the Matillion VPC as a containerized execution. Infrastructure is hosted in either the EU or U.S.

Software

METL, MDL (and CDC), and DPC are applications developed and maintained by Matillion's in house engineering team. The engineering team enhances and maintains both applications to provide services for the Matillion's customer base. Matillion's METL software is sold via a number of cloud platforms (marketplaces) and through the Hub service. MDL is freely available online as a SaaS platform.

Matillion hosts a Web site to supplement their ability to communicate and exchange information with their customers. Each page targets a specific audience and is designed to address their business needs depending upon the version of the Matillion product they are using.

Enterprise applications utilized to support Matillion:

- AWS – cloud computing including EC2, Lambda, Aurora MySQL, VPC, Route 53, API Gateway, S3, CloudWatch
- Google Workspace – cloud computing and productivity and collaboration tools (Gmail, Calendar, Drive, etc.)
- Google Cloud Platform – cloud computing and product testing
- Atlassian – source code repository and version control software, software project management, and Intranet for collaboration
- Statuspage – monitor system uptime and communicate outages on MDL
- CircleCI – software build, test, and deployment
- Auth0 – authentication to the MDL platform
- Okta – conditional access to Matillion SaaS applications
- Snyk – third party dependency analysis
- Slack – collaboration and internal communications
- Datadog – monitoring and analytics of the Matillion Platform
- Terraform Cloud – provision, change, and version resources on environments
- Hashicorp Vault – identity based security automation and encryption as a service
- Launch Darkly – deploy features into products in a controlled manner with rollback capabilities
- Netsuite – enterprise resource planning
- Sysdig – security and monitoring for container based environments
- StackHawk – API security testing
- Dispatch – establish and maintain quality gates for automated build pipelines
- PagerDuty / Rootly – manage information security incidents

People

Matillion has a staff of approximately 485 - 500 employees which is a globally distributed workforce working between dual headquarters in Denver, CO and Manchester (UK) and has extended engineering support function in India office.

Processes and Procedures

Matillion has a set of policies and procedures to govern Information Security. Changes to these policies and procedures are performed annually and authorized by Senior Management. These procedures cover:

- Data classification
- Vulnerability and patch management
- Software development lifecycle
- Password and authentication
- Physical security
- Risk assessment and management
- System access and control
- Vendor management
- Acceptable use
- Security awareness training
- Incident response
- Social media
- Electronic monitoring
- Data backup and retention
- AI Governance & usage Policy

Data

Data, as defined by Matillion, constitutes the following:

- Customer account Metadata
- Transaction data
- Output reports
- Input reports
- System files
- Error logs

The end user initiates transaction processing by operating their instance of Data Productivity Cloud/METL/, and this causes Data Productivity Cloud/METL/ to ingest data from the source and copy it into the customer's target Cloud Data Warehouse, often via customer owned cloud object storage for performance best practices. The customer may optionally choose to subsequently transform the data, and this occurs entirely within the customer's target Cloud Data Warehouse. During the ingestion and transformation of data, system files and error logs may be generated by Data Productivity Cloud/METL/, and the end user may choose to share those files and logs with Matillion. If that is done, the system files and error logs become associated with that customer's account metadata. The end user may choose to view data samples at any time, and these appear inside their METL/Data Productivity Cloud user interface in the form of Input Reports. Within Data Productivity Cloud, data transits the MDL platform when it is loaded into a CDW, data flows are unique to a particular organization and can only be accessed by members of that organization. Access to the Data Productivity Cloud Web interface is conducted over HTTPS for the purpose of viewing and reporting.

Disclosures

Informed by Management there were no security incidents (affecting the entity’s ability to maintain service commitments) reported during the period under review.