



Licensing Policy Kofax ControlSuite

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Version 1

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License Policy applies to the following Products

- Kofax ControlSuite v1.X
- Kofax Equitrac v6.x
- Kofax AutoStore v8.x
- Kofax Output Manager v5.x

General Comments

- End-user customer is responsible for ensuring compliance with Kofax license policy. Kofax reserves the right to audit end-user customer environments for the sole purpose of auditing for compliance with this licensing policy. End-user customer will have 60 days to demonstrate compliance or to purchase incremental license.
- Partner installing on behalf of end-user customers must complete product technical training. Kofax is not responsible for downtime, loss of data or any other negative consequence caused by non-trained personnel.
- All licenses are non-transferable.
- Cloud deployments are allowed per Kofax technical documentation.
- Minimum of 1-year support required at initial purchase. Software patches, hotfixes, minor updates and major upgrades require active Kofax Support.

Product Licensing Requirements

- Claim and activation of product licenses will require end-user information with valid company and user contact details. Use of erroneous or fictitious user information will result in a failed license attempt.
- It is required that the end-user customer have external network access to complete license process. A process is available for dark site (server not exposed to external network), however this process requires a single workstation in the environment to have external connectivity.
- At no time can Foundations and Enterprise license types be mixed. A deployment can either be Foundations version or Enterprise version, but not both. Similarly, the same is true with ControlSuite and the standalone products. You cannot mix ControlSuite license with the AutoStore, Equitrac or Output Manager license.

Software License Category Detail

Most requirements will be met with core capability available within the user license. As needed additional server components, capture sources or product capabilities may also be licensed. The following table details how Kofax license policy will be applied across the various software capabilities available with ControlSuite and the individual products.

Table 1

License Category	License Policy
User License	Defined as the license required to connect an individual end-user to the administration server. A license is required for each named user that interacts with the Kofax solution, not every user in the organization. A single named-user license will enable that

	<p>named- user to interact with the MFP, desktop clients, mobile clients, web clients, etc. Each named-user requires their own license that cannot be shared with other users. Mass-imported AD users will not consume a license until the first time they interact with the system (e.g authenticate at an endpoint, submit or releases documents for print, scans an image at MFP, etc.), at which point the license will be consumed and they will become an active user.</p>
Service Account	<p>For ControlSuite, Equitrac, and Output Manager a User License will provide each named user 25,000 impressions per year. With some print processes a “System account” or “Service account” is used in place of a standard user account. In these situations, the end-user customer must purchase the appropriate quantity of user licenses based on the number of impressions each service account processes per year (rounding up to the nearest whole number). For example, a Service account printing 80,000 impressions per year will require quantity 4 user licenses ($80,000 / 25,000 = 3.2$).</p>
Server	<p>Kofax software such as ControlSuite, Equitrac, AutoStore and Output Manager that manages various print, scan, and output functions is referred to as Server software.</p> <ul style="list-style-type: none"> • The Kofax Server software can be configured in a high availability or clustered configuration for maximum uptime. Any HA supported HA configuration requires the Enterprise version of software, not Foundations • Disaster Recovery licenses are also available for ready-to-deploy systems retained offline until the production system fails. • The Kofax Server software will integrate with a locally deployed license server for license control. The Server software is accessed by a web browser for user access and communicates with the Embedded software on each server.
Mobile Client	<p>Software that runs on a standard mobile device such as Apple or Android phone or tablet. Kofax Business Connect is an example of Mobile client software. Each mobile client will require appropriate quantity of user License for each named user per guidance in “user license” section.</p>
Desktop Clients	<p>These are clients (thick and thin) that run on end-user workstations. Examples of Desktop Clients are:</p> <ul style="list-style-type: none"> • AutoStore: AutoCapture and Webcapture. These are licensed per user. These licenses are consumed by IP

	<p>address, not named user. Each time a new IP address engages the Autostore server a desktop user license is consumed. This license is used 1:1, user: desktop client.</p> <ul style="list-style-type: none">• AutoStore: QuickCapture Pro is an add-on workstation license. This is a thick client that can be installed on a PC. Licenses are consumed by IP address, not named user. This license can be 1:1 or 1 to many (single workstation used by many named users).• Output Manager and Equitrac: Desktop and Workstation clients function on a named-user basis. If a user has already consumed a license and become an active user in some other manner (e.g. authenticating at an embedded MFD client), they will not consume an additional license for using the desktop client.
Page Volume	<p>This license is based on the number of images processed. It can be purchased stand-alone and does not require user license. Example:</p> <ul style="list-style-type: none">• AutoStore: File Import. This license is purchased in tiers of 60k image increments. These licenses refresh automatically every year: on Jan 1 image count is refreshed. With each image processed the total image count is reduced by 1. When count reaches zero the system will stop processing images. If needed a File Import Battery can be added at 30k image increments to add more image capacity. Batteries are one time use and are not renewed annually.
Server add-on	<p>These are add-ons that an end-user customer can add to server license. If configuration has multiple servers, license for these server add-ons are required per each server deployed. Example of Server add-ons are:</p> <ul style="list-style-type: none">• AutoStore: Additional OCR and/or 2D barcode engine. with AutoStore. If end-user customer wants to additional OCR throughput or add 2D barcode recognition capability, additional OCR nodes or 2D barcode engine can be licensed to their AutoStore process server. The sever add-on enable a single server. Each AutoStore process server will require a license.• Output Manager: Basic and Production Transforms and Page Modification modules. These are add-ons that enable different transform and document modification capabilities. Production transforms and page modification modules are priced per server.

License Types

Each of the Software and Product capabilities in Table 1 are governed by a specific Kofax license type. The table below details the license duration and further description for each License Type.

Table 2

License Type	Duration	Description
Perpetual	Perpetual	Unless otherwise noted, licenses are issued to end-user customer for perpetual use. License is non-transferable and does not expire. Customer may use software as long as desired, Support is available to end-user customers current with Kofax Support.
Image Annual Usage	Yearly	This is reoccurring image volume that runs Jan 1 to Dec 31. License counts # of images. End-user customer purchases # of images per year and count is decremented with each image processed. Count resets each year on January 1. Unused images do not roll-over to following year. If end-user customer has exhausted image volume, they can add a one-time use battery (see below).
Image Single Usage Battery	Single Usage – counts down to zero	A time-based usage license used for expanding Image Annual Usage until the end of the year (e.g. additional 30,000 pages captured in a particular year). This license is one-time use and does not renew.
Disaster Recovery	Perpetual	<p>This is accommodated by Disaster Recovery (DR) parts which are purchased by end-user customers. They correspond to other Base and Add-on parts and similarly have Support included or as separate parts. Servers configured with Disaster Recovery can be configured and regularly updated, but they may not be used in conjunction with production systems to increase capacity, document throughput or for load balancing. DR systems must remain offline until the Production system fails or is taken offline.</p> <p>End Customer may also leverage Disaster Recovery license for the purpose of non-production testing. Non—production testing includes user acceptance and</p>

		regression test, security and penetration test and MFP and related IT HW test.
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License Policy Application by Kofax Product

The following table(s) provide a mapping for each of the major categories of orderable items on the Kofax price list to the License Category (Table 1) and License Type (Table 2). As needed reference the applicable tables to understand policy for each software element deployed in your environment. It is the end-user customer’s responsibility to ensure compliance with Kofax License Policy.

ControlSuite Orderable Part IDs

List Item	License Category (Table 1)	License Type (Table 2)
ControlSuite Foundations User	User License	Perpetual
ControlSuite Enterprise User	User License	Perpetual
ControlSuite Foundations Disaster Recovery	User License	Disaster Recovery
ControlSuite Enterprise Disaster Recovery	User License	Disaster Recovery

Equitrac Orderable Part IDs

List Item	License Category (Table 1)	License Type (Table 2)
Equitrac Foundations User	User License	Perpetual
Equitrac Enterprise User	User License	Perpetual
Equitrac Foundations Disaster Recovery	User License	Disaster Recovery
Equitrac Enterprise Disaster Recovery	User License	Disaster Recovery

AutoStore Orderable Part IDs

List Item	License Category (Table 1)	License Type (Table 2)
AutoStore Foundations User	User License	Perpetual

AutoStore Enterprise User	User License	Perpetual
AutoStore Enterprise File Import	Page Volume	Image Annual Usage
AutoStore Enterprise File Import Battery	Page Volume	Image Single Usage Battery
QuickCapture Pro	Desktop Client	Perpetual
2D Barcode	Server Add-on	Perpetual
Additional OCR Engine	Server Add-on	Perpetual
AutoStore Foundations Disaster Recovery	User License	Disaster Recovery
AutoStore Enterprise Disaster Recovery	User License	Disaster Recovery

Output Manager Orderable Part IDs

List Item	License Category (Table 1)	License Type (Table 2)
Output Manager Foundations User	User License	Perpetual
Output Manager Enterprise User	User License	Perpetual
Output Manager Foundations User (Service Account) *	Service Account	Perpetual
Output Manager Enterprise User (Service Account) *	Service Account	Perpetual
Basic Transform Module	Server Add-on	Perpetual
Basic Page Modification Module	Server Add-on	Perpetual
All Production Conversion Modules	Server Add-on	Perpetual
Essentris Connector	Server Add-on	Perpetual
Output Manager Foundations Disaster Recovery	User License	Disaster Recovery
Output Manager Enterprise Disaster Recovery	User License	Disaster Recovery

* Service account not on price list. Any user account or system account that prints more than 25,000 pages per year. Refer to the 'Software and Product Capability Category' section for more detail

Included Product Capabilities

These items are included within the user license at no additional cost or server license to apply

List Item	Products	License Category (Table 1)	License Type (Table 2)
Kofax Business Connect (Mobile)	All	User License	Perpetual
Print Management: Workstation Client	ControlSuite, Equitrac and Output Manager	User License	Perpetual
Capture: Desktop and Web Client	ControlSuite and AutoStore	User License	Perpetual

Product Step-up Restrictions

A step-up is defined as moving from Foundations to Enterprise within the same product family or ControlSuite. For example, moving from AutoStore Foundations to AutoStore Enterprise is a step-up. An upgrade is defined as staying within the same product family and moving to a new major version. For example, moving from Equitrac v5 to Equitrac v6 is an upgrade.

- When purchasing step-ups or upgrades, licenses must be purchased for ALL users at the same time (no partial Step-ups allowed).
- End-user customer must own sufficient licenses of the existing product to enable the purchase of the Step-up, for example an end-user customer with 1000 Equitrac Foundations User licenses may not purchase 1,500 Equitrac Enterprise Step-Up licenses, they may only purchase 1,000 Step-Up licenses and then purchase 500 Equitrac Enterprise User licenses to reach 1,500 total user licenses.
- All licenses must be either Foundations or Enterprise version. There is no mixing of version types on a single server.
- Purchase of upgrade or step-up requires active Kofax Support and the Step-Up licenses must be purchased with support for a term that most closely matches the support term of the existing product.

High Availability

High Availability functionality across all ControlSuite products is restricted to the Enterprise level product. End-user customer may not deploy any capability that results in failover or high

availability with Foundations level product. Kofax will provide technical support for issues related to High Availability to Enterprise versions of software only.

Disaster Recovery License

- Disaster Recovery licenses are to be used for recovery purposes due to a catastrophic event, terror attack, malware, fire, flood, earthquake, etc. that renders the installed system unusable.
- Disaster Recovery licenses are not to be deployed concurrently with production non-Disaster Recovery licenses. Appropriate use is for active/passive architectures only. May not be used for purpose of load balancing or to increase system throughput.
- It is acceptable to stage disaster recovery environment in advance and to apply SW updates as required.
- The quantity of Disaster Recovery user license cannot exceed that of the production server environment.
- Disaster Recovery license may also be used for the purpose of testing in an end customers non-production environment. Non—production testing includes user acceptance and regression test, security and penetration test and MFP and related IT HW test.

Evaluations and Not for Resale

- Evaluation licenses are limited to 45 days. Evaluation license may be extended one time. Additional extensions may be granted at Kofax discretion. Each license is valid for 100 users
- Not for Resale (NFR) license are not to be used for commercial gain. NFRs are issued at sole discretion of Kofax and are used for partner product testing/certification, HW and SW development, demo room enablement or other use case approved by Kofax. NFRs are restricted to individuals that have completed appropriate product certification. Each license is valid for 100 users.

License Type	Standard Duration	Intent
Eval	45 Days	The end-user customer wishes to evaluate the software for a short term. Evals are limited by time and may be limited based on the number of users (ie: 100), similar to their revenue-based counterparts. Eval time periods may be extended once. Evals are identified by a set of unique part numbers.
NFR	Yearly	Not-for-Resale. This license is intended to be used by channel partners and should never be installed in an end-user customer environment. The NFR license is a part identified by a unique part number.