



Version
34.0 Final

Approved: September 14, 2006 18, 2015

STORAGE NETWORKING INDUSTRY ASSOCIATION (SNIA) INTELLECTUAL PROPERTY POLICY

1. PURPOSE

The purpose of this Intellectual Property Policy is to facilitate the development of SNIA Architecture and SNIA Software and to enable the SNIA and its MEMBERS to reproduce, distribute and use such Architecture and Software.

2. DEFINITIONS

2.1 Actual Knowledge means personally known to the individuals who participate in SNIA Technical Working Groups (TWGs) that contribute to the subject SNIA Architecture or SNIA Software, without such individuals or an Adopting Party being required to conduct a patent search.

2.2 Adopting Party(ies) means each and every MEMBER and the employer(s) of each and every Individual Member, if such exists.

2.3 Affiliate means any entity that is directly or indirectly controlled by, under common control with, or that controls an Adopting Party. For purposes of this definition, control means direct or indirect ownership of or the right to exercise: (a) greater than fifty percent (50%) of the outstanding shares or securities entitled to vote for the election of directors or similar managing authority of the subject entity; or (b) greater than fifty percent (50%) of the ownership interest representing the right to make the decisions for the subject entity.

2.4 — Compliant Portion means the portion or portions of a product that implement and are compliant with normative requirements of the SNIA Architecture applicable to the product, or that use SNIA Software. A Compliant Portion includes a component that implements a normative requirement of the SNIA Architecture or uses SNIA Software solely when used as part of a conforming implementation.

2.5 Contributed Work means Work developed by an Adopting Party and designated in writing to SNIA as *contributed* to the SNIA.

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2.6 Essential Claims means only those claims of patents and published patent applications owned or controlled, directly or indirectly, by an Adopting Party or its Affiliates, that are necessarily infringed in the use of SNIA Software or in the implementation of a normative requirement of the SNIA Architecture ~~or in the use of SNIA Software~~, and that an Adopting Party or its Affiliate has or hereafter obtains the right to license. A claim is necessarily infringed only where there is no commercially reasonable non-infringing alternative. -Essential Claims does not include:

(i) claims that, if licensed, would require the payment of royalties by the licensor to or the consent of an unaffiliated third party, where licensor has made a good faith effort to obtain such consent and such consent has been withheld;

(ii) any claims other than as set forth above even if contained in the same patent as Essential Claims;

(iii) design patents and registrations; or

(iv) claims which would be infringed only by:

a.— ~~portions of an implementation that are not required by neither use SNIA Software nor implement a normative requirement of the SNIA Architecture ; or SNIA Architecture or SNIA Software; or~~

b.— ~~enabling technologies that may be necessary to make or use any product or portion thereof that complies with SNIA Architecture or uses SNIA Software, but are not themselves expressly set forth in SNIA Architecture or SNIA Software (e.g., semiconductor manufacturing technology, compiler technology, object-oriented technology, basic operating system technology, and the like); or~~

c. the implementation of technology not developed under the auspices of the SNIA or contributed to the SNIA, which is merely incorporated by reference into SNIA Architecture or SNIA Software.

2.7 Intellectual Property Rights means rights in patents and copyrights anywhere in the world, including, without limitation, Essential Claims.

2.8 Joint Work means Work developed by one or more employees of an Adopting Party jointly with one or more employees of other Adopting Parties for and in the course of Participation in the SNIA.

2.9 MEMBERS (in all caps) means a Voting Member or a Participant of SNIA.

2.10 Notice of Intent to Designate means the notice referred to in Section 3.1 hereof.

2.11 Participant means a Participant in SNIA as defined in the SNIA corporate Bylaws, including, without limitation, individual Participants.

2.12 Participate(d) (and Participation), when used in reference to a TWG, means that an Adopting Party, after the effective date of this Policy: (i) joined the TWG

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as a member or remained a member of the TWG having joined prior to the effective date of this Policy; (ii) attended three or more meetings of the TWG (in person or by telephone) within any 12-month period (This subsection permits attendance as a monitor for up to two meetings); or (iii) Contributed Work to the TWG or to the SNIA for consideration by the TWG.

2.13 Review Period means the review period defined in Section 3.3.1 hereof.

2.14 Single Work means Work developed by one or more employees of a single Adopting Party for and in the course of participation in the SNIA.

2.15 SNIA Architecture means Technical Work related to storage networking that is formally designated as SNIA Architecture by the Board of Directors of the SNIA and expressly made subject to this Policy.

2.16 SNIA Software means Technical Work related to storage networking that is formally designated as SNIA Software by the Board of Directors of the SNIA and expressly made subject to this Policy.

2.17 SNIA Work-in-Progress means Technical Work in draft form that the Board of Directors of SNIA might ultimately consider for formal designation as SNIA Architecture or SNIA Software. Work-in-Progress related to future SNIA Architecture includes a trial use draft, a working draft, a technical proposal, a formal review draft, and a final text of proposed SNIA Architecture. Work-in-Progress related to future SNIA Software includes all source code and binaries associated with the Software.

2.18 Specified SNIA Architecture means the SNIA Architecture developed, contributed, modified, or recommended, in whole or any part, by a TWG in which the Adopting Party Participated.

2.19 Specified SNIA Software means the SNIA Software developed, contributed, modified, or recommended, in whole or any part, by a TWG in which the Adopting Party Participated.

2.20 Technical Work means Work which is developed, created, modified, or accepted by a TWG, a Technical Steering Group, or the Technical Council in the course and scope of its activities. Technical Work may include Single Work, Joint Work, and Contributed Work.

2.21 TWG means a SNIA Technical Working Group.

2.22 Voting Member means a Voting Member of SNIA as defined in the SNIA corporate Bylaws.

2.23 Work means architecture, specifications, proposed standards, information, data, materials, publications, white papers, presentations, proposals, software, firmware, computer programs, and code, but does not include hardware or mask works. Additionally, Work specifically includes architecture and specifications which are based

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on the ideas in software developed in or contributed to a TWG for use in SNIA Software.

3. INTELLECTUAL PROPERTY

3.1 Designation of SNIA Architecture or SNIA Software. In accordance with the SNIA’s corporate Bylaws, the Board of Directors of SNIA may formally designate SNIA Architecture or SNIA Software for voluntary use by the industry and for consideration by industry standard-setting bodies. Prior to such formal designation and prior to the submission of SNIA Architecture or SNIA Software to the membership for approval, the Board of Directors shall make available to Adopting Parties a copy of a SNIA Work-in-Progress that is proposed to be designated SNIA Architecture or SNIA Software, and the Board shall give at least sixty (60) days prior written notice to Adopting Parties of its intent to designate SNIA Architecture or SNIA Software (“Notice of Intent to Designate”).

3.2 Ownership of Rights.

3.2.1 The Intellectual Property Rights to Single Work shall be owned by the Adopting Party that developed the Work. Such Adopting Party shall have the right to obtain in its own name patents, copyrights, registrations and similar other protections.

3.2.2 The Intellectual Property Rights to Joint Work shall be owned by the Adopting Parties that developed the Work or as they may otherwise agree. Such Adopting Parties shall have the right to obtain in their own name patents, copyrights, registrations and similar other protections.

3.2.3 The SNIA may own the Intellectual Property Rights in Work where such rights have been assigned or transferred to the SNIA or where the SNIA is the owner under applicable legal principles.

3.3 Limited Duty to Disclose.

3.3.1– Review Period. A TWG, a Technical Steering Group, or the Technical Council, with the approval of the Board of Directors, or the Board of Directors on its own initiative, may release a SNIA Work-in-Progress for review by Adopting Parties. -Reviews shall be initiated at appropriate milestones during the development of a SNIA Work-in-Progress, when it is determined that the SNIA Work-in-Progress, or a material part thereof, is sufficiently developed and fixed so as to warrant the disclosure obligations of Section 3.3.2. -In general, reviews for a particular SNIA Work-in-Progress should be initiated every six (6) months, except the Board of Directors may allow the initiation of a more frequent review when there is a compelling reason to do so. -The review period (“Review Period”) shall be not less than sixty (60) days. A request for review pursuant to this section shall specifically refer the Adopting Party to this Policy and request that the Adopting Party comply with the obligations created by Section 3.3.2 and Section 3.3.3.

~~(60) days. -A request for review pursuant to this section shall specifically refer the Adopting Party to this Policy and request that the Adopting Party comply with the obligations~~

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~~3.3.2 and Section 3.3.3.~~

~~3.3.2 Limited Duty to Disclose.~~ -If and when SNIA Work-in-Progress is-

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released for review to an Adopting Party pursuant to Section 3.3.1, the Adopting Party shall make reasonable and good faith efforts during the Review Period to disclose in writing to the TWG any Essential Claims in the SNIA Work-in-Progress (assuming it were to be designated as SNIA Architecture or SNIA Software) of which Adopting Party has Actual Knowledge. Further, prior to the end of the Review Period, Adopting Party shall disclose in writing to the SNIA, if the Adopting Party would be unwilling to license any Essential Claims (of which it has Actual Knowledge) in the SNIA Work-in-Progress in accordance with Section 3.5 hereof, assuming that the SNIA Work-in-Progress were designated SNIA Architecture or SNIA Software. This duty to disclose includes Essential Claims contained in published patent applications, but not in unpublished patent applications, but if an Essential Claim issues from an application, or is published, prior to SNIA’s final designation of SNIA Architecture or SNIA Software, then Adopting Party shall make reasonable and good faith efforts to disclose such Essential Claims after issuance or publication, provided that such Adopting Party has Actual Knowledge of such Essential Claims. Disclosure of a patent or patent application is not an admission that the patent or patent application necessarily contains Essential Claims.

3.3.3 Exception to Duty to Disclose. If an Adopting Party is requested to review a SNIA Work-in-Progress pursuant to section 3.3.1, and if an Adopting Party did not Participate in a TWG that developed, contributed, modified, or recommended any portion of the SNIA Work-in-Progress, the Adopting Party may opt out of the duties imposed by Section 3.3.2 by sending written notice of its intent to opt out to the SNIA Board of Directors or its Executive Director before the end of the Review Period. Provided, however, that an Adopting Party that “opts out” shall be subject to the consequences specified in Section 3.4.2 and Section 3.5.2 hereof.

3.3.4 Non-Participation in TWG. An Adopting Party that gives notice that it would be unwilling to license Essential Claims in accordance with Section 3.5 shall, if the TWG requests in writing, cease its Participation in the TWG.

3.4 Obligation to License Essential Claims in Contributed Work, Single Work, and Joint Work.

3.4.1 Contributed Work, Single Work, and Joint Work. An Adopting Party, for itself and its Affiliates, agrees to grant a license under its Essential Claims on the request of another Adopting Party with respect to its Contributed Work, Single Work, and Joint Work, if the Contributed Work, Single Work, or Joint Work is incorporated in Specified SNIA Architecture or Specified SNIA Software. The license shall:

(i) permit the requesting Adopting Party and its Affiliates to make, have made, use, import, sell, offer for sale, and otherwise distribute products (including end products or components) implementing or using the Contributed Work, Single Work, or Joint Work to the extent such Work is incorporated in Specified SNIA Architecture or Specified SNIA Software. -Such licenses: (a) must be nonexclusive and worldwide; (b) must be on reasonable and nondiscriminatory terms and conditions; (c) may be granted either for or without compensation; and (d) may be limited to Compliant Portions; and (e) may be conditioned on a reciprocal license of comparable scope from the licensee under any Essential Claims owned or controlled by the licensee or its

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(ii) permit SNIA on a royalty free basis to reproduce and distribute the Contributed Work, Single Work and Joint Work for the purpose of developing SNIA Architecture or SNIA Software, and to develop and distribute SNIA approved interoperability and conformance tests for SNIA Architecture or SNIA Software.

3.4.2– Exception to Obligation to License.- Notwithstanding Section 3.4.1, Adopting Party need not grant a license with respect to Contributed Work, Single Work, and Joint Work to an Adopting Party that is not willing to grant reciprocal licenses under reasonable and nondiscriminatory terms and conditions, including reasonable compensation, to its own Essential Claims in such Work. An Adopting Party obligated to grant a license under section 3.4.1 may not condition such license on the licensee’s grant of a cross-license for patents or patent claims other than the licensee’s own Essential Claims, or on the licensee’s willingness to take a license for patent claims that are not Essential Claims, for the Specified SNIA Architecture or Specified SNIA Software. The licensing obligation hereunder shall apply separately to each Essential Claim held by any Adopting Party.

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3.5 Obligation to License Essential Claims in Specified SNIA Architecture or Specified SNIA Software.

3.5.1 Obligation to License. If an Adopting Party Participated in a TWG that developed, contributed, modified, or recommended any portion of Specified SNIA Architecture or Specified SNIA Software, then the Adopting Party, for itself and its Affiliates, agrees to grant:

(i) ~~_____ a license under its Essential Claims on the request of another Adopting Party, permitting the requesting Adopting Party and its Affiliates to make, have made, use, import, sell, offer for sale, and otherwise distribute products (including end products or components) implementing or using the Specified SNIA Architecture or Specified SNIA Software.- Such licenses: (a) must be nonexclusive and worldwide; (b) must be on reasonable and nondiscriminatory terms and conditions; (c) may be granted either for or without compensation; and (d) may be limited to Compliant Portions; and (e) may be conditioned on a reciprocal license of comparable scope from the licensee under any Essential Claims owned or controlled by the licensee or its Affiliates.~~

(ii) a royalty free license under its Essential Claims to SNIA for the purpose of permitting SNIA to reproduce and distribute the Specified SNIA Architecture or Specified SNIA Software and to develop and distribute SNIA approved interoperability and conformance tests for SNIA Architecture or SNIA Software.

3.5.2-Exception to Obligation to License.- Notwithstanding Section 3.5.1, Adopting Party need not grant a license with respect to Specified SNIA Architecture or Specified SNIA Software to an Adopting Party that is not willing to grant reciprocal licenses on reasonable and nondiscriminatory terms and conditions, including reasonable compensation, to its own Essential Claims ~~in~~for the same Specified SNIA Architecture or Specified SNIA Software. An Adopting Party obligated to grant a license under section

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3.5.1 may not condition such license on the licensee's grant of a cross-license for patents or patent claims other than the licensee's own Essential Claims, or on the licensee's willingness to take a license for patent claims that are not Essential Claims, for the Specified SNIA Architecture or Specified SNIA Software. The licensing obligation hereunder shall apply separately to each Essential Claim held by any Adopting Party.

3—5.3 No Circumvention. -An Adopting Party shall not transfer or assign Essential Claims for the purpose of circumventing the obligations hereof. An Adopting Party shall also include in any documents transferring ownership of patents subject to the obligations hereunder, provisions sufficient to ensure that the commitments are binding on the transferee, and that the transferee will similarly include appropriate provisions in the event of future transfers with the goal of binding each successor-in-interest. The obligations under this section are intended to be binding on successors-in-interest regardless of whether such provisions are included in the relevant transfer documents.

Essential Claims for the purpose of circumventing the obligations hereof.

3.5.4 Software Contributions. Notwithstanding the obligation to license Essential Claims pursuant to sections 3.4.1 and 3.4.2, an Adopting Party that contributes a Contributed Work to a TWG developing Specified SNIA Software may be required as a condition of making such contribution to agree to the terms of an inbound license agreement specified in the TWG Charter pursuant to the SNIA Policies and Procedures. The terms of such inbound license agreement shall be sufficient to ensure that the Contributed Work can be incorporated, in whole or in part, into the Specified SNIA Software and distributed by SNIA as part of Specified SNIA Software pursuant to an outbound license agreement specified in the TWG Charter pursuant to the SNIA Policies and Procedures. Such contributors may also be required to represent that they have the authority to contribute their Contributed Work and that, to their knowledge, the Contributed Work does not infringe the copyrights, patents, or trade secrets of any person or entity. Further, notwithstanding the obligation to license Essential Claims under sections 3.5.1 and 3.5.2, an Adopting Party that participates in a TWG that develops Specified SNIA Software may also be required to grant a license for the Specified SNIA Software that is consistent with the terms of the outbound license agreement identified in the TWG charter for the Specified SNIA Software. If the Specified SNIA Software is to be distributed under an outbound license that permits the modification and redistribution of the Specified SNIA Software, then at least one identified outbound license must be compatible with commercial software distribution such as the Berkeley Software Distribution ("BSD") license.

3.6 Copyright License. Each Adopting Party hereby grants to the SNIA and to each other Adopting Party a nonexclusive, worldwide, perpetual, and royalty-free license under Adopting Party's copyrights to reproduce, display, perform and make derivative works of its Contributed Work and its interest in Technical Work for the purpose of developing and distributing Works-in-Progress, and for the purpose of developing, distributing and using SNIA Architecture or SNIA Software. This grant of Copyright License applies only with respect to Contributed Work made by the Adopting Party, and with respect to the Adopting Party's own contribution to Technical Work. It does not apply to or include copyrights owned by an Adopting Party in Work that was contributed

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or submitted by someone else without the Adopting Party's authorization and consent.

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3.7 Trademarks. SNIA may adopt and shall own its trademarks. SNIA may choose to seek and maintain trademark registrations in such jurisdictions as it may choose, may license the right to use such trademarks on terms and conditions adopted by the Board of Directors, and protect the trademarks by prosecuting infringers and defending against trademark-infringement claims, all as the Board of Directors may determine. Adopting Parties shall have no right to use a SNIA trademark as a trademark, except under license from SNIA.

3.8 Threat of Infringement. If any claim is made or threatened (or if, in the opinion of SNIA, such a claim is likely) that the use by any Adopting Party of any SNIA Architecture or SNIA Software infringes any intellectual property rights of such party, SNIA is not required to take any action, but SNIA may, in its discretion, disclose information regarding such claim or threat.

4.—3.9 Injunctions. An Adopting Party subject to licensing obligations under Section

3.4.1 or 3.5.1 agrees that it shall neither seek or enforce injunctive / exclusionary relief against a potential licensee if RAND compensation (for the practice of the Essential Claims in implementing the standard) can be obtained from the potential licensee via negotiations or, in the event of a dispute, via third party judicial or arbitral adjudication(s).

3.10 Reasonableness. Reasonable compensation under Section 3.4.1 or 3.5.1 shall include appropriate compensation to the patent holder for the practice of an Essential Claim excluding the value, if any, resulting from the inclusion of that Essential Claim's technology in the Specified SNIA Architecture or Specified SNIA Software.

3.11 Voluntary Agreements. Nothing in this policy shall preclude a licensor and licensee from voluntarily negotiating any license (including Essential Claims or any other patents) under terms mutually agreeable to both parties.

4. APPLICATION OF POLICY

This Policy is binding in accordance with its terms on all MEMBERS, each of whom is deemed an Adopting Party. -This Policy is effective as of the date it is approved by the Board of Directors of the SNIA, as stated on the last page hereof. -This Policy supersedes and replaces the SNIA Intellectual Property Policy adopted on ~~August 28, 2003, September 18, 2015.~~

5.— TERMINATION AND SURVIVAL OF OBLIGATIONS

5.1 Termination of Obligations. An Adopting Party that ceases to Participate in a TWG may terminate its obligations under this Policy on giving written notice to the SNIA of such intent to terminate. An Adopting Party terminating its obligations hereunder shall also give written notice of Essential Claims of which it has Actual Knowledge in any SNIA Work-in- Progress then being considered by a TWG in which the Adopting Party has been Participating. Except as set forth in Section 5.2, such termination shall be effective as to Specified SNIA Architecture or Specified SNIA

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Software designated after SNIA's receipt of Adopting Party's notice of termination.

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5.2 Survival of Obligations. An Adopting Party's obligations under this Policy survive termination under Section 5.1 with respect to all Specified SNIA Architecture and Specified SNIA Software adopted prior to the Board's receipt of an Adopting Party's notice of termination, and the obligations also survive with respect to Specified SNIA Architecture and Specified SNIA Software from a TWG in which the Adopting Party continues to Participate. In addition, the obligations under this Policy exist and survive with respect to: (i) any of Adopting Party's Contributed Work whenever and to the extent included in Specified SNIA Architecture or Specified SNIA Software; (ii) Adopting Party's interest in Technical Work whenever and to the extent included in Specified SNIA Architecture or Specified SNIA Software; (iii) any SNIA Work-in-Progress whenever and to the extent included in Specified SNIA Architecture or Specified SNIA Software if a Review Period for the SNIA Work-in-Progress began before the Adopting Party's notice of termination, and the Adopting Party, if it had an obligation to do so, did not disclose in writing during the Review Period that it would be unwilling to license Essential Claims in accordance with Section 3.5; and (iv) Specified SNIA Architecture or Specified SNIA Software which the Board of Directors gave written Notice of Intent to Designate, as provided in Section 3.1, at least thirty (30) days prior to receipt of Adopting Party's notice of termination.

5.3 No Entitlement. Notwithstanding any other section of this Policy, an Adopting Party that is relieved of an obligation to grant a license with respect to Specified SNIA Architecture or Specified SNIA Software or otherwise refuses to grant a license under reasonable and nondiscriminatory terms and conditions to a SNIA Architecture or SNIA Software pursuant to this Policy shall not be entitled under this Policy to obtain a license from other Adopting Parties with respect to such SNIA Architecture or SNIA Software, and any license granted to such Adopting Party with respect to such SNIA Architecture or SNIA Software shall be subject to termination by other Adopting Parties.

6. NO LIABILITY

6.1 No Indemnification. SNIA will not provide and does not owe any duty to provide indemnification or defense with respect to an Adopting Party's use of Contributed Work, Technical Work, Single Work, Joint Work, SNIA Work-in-Progress and/or SNIA Architecture or SNIA Software, nor does any Adopting Party owe any such duty to any other Adopting Party or to SNIA by reason of this Policy.

6.2 No Warranty. ALL CONTRIBUTED WORK, SINGLE WORK, JOINT WORK, TECHNICAL WORK, SNIA WORK-IN-PROGRESS, AND/OR SNIA ARCHITECTURE OR SNIA SOFTWARE PROVIDED BY SNIA TO AN ADOPTING PARTY OR PROVIDED BY AN ADOPTING PARTY TO SNIA OR TO ANY OTHER ADOPTING PARTY IS PROVIDED "AS IS" AND WITHOUT ANY WARRANTY OF ANY KIND, INCLUDING, WITHOUT LIMITATION, ANY EXPRESS OR IMPLIED WARRANTY OF NONINFRINGEMENT, MERCHANTABILITY, OR FITNESS FOR A PARTICULAR PURPOSE.

6.3 No Obligation. Each Adopting Party is responsible for securing its own

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licenses or rights to any Intellectual Property Rights that may be held by another Adopting Party or by a third party. SNIA has no obligation to secure any such rights.

6.4 No Liability. IN NO EVENT WILL SNIA OR ANY ADOPTING PARTY BE LIABLE TO ANY OTHER ADOPTING PARTY OR TO SNIA FOR THE COST OF PROCURING SUBSTITUTE GOODS OR SERVICES, LOST PROFITS, LOSS OF USE, LOSS OF DATA OR ANY INCIDENTAL, CONSEQUENTIAL, INDIRECT, OR SPECIAL DAMAGES, WHETHER UNDER CONTRACT, TORT, WARRANTY OR OTHERWISE, ARISING IN ANY WAY OUT OF THIS POLICY, WHETHER OR NOT SUCH PARTY HAD ADVANCE NOTICE OF THE POSSIBILITY OF SUCH DAMAGES.

7. NON-CONFIDENTIALITY

All information disclosed by an Adopting Party in the course of participation in SNIA shall be considered non-confidential, unless the disclosing party designates information as confidential, in writing, prior to such disclosure, and the confidential information is covered under a written confidentiality agreement that is acceptable to both the disclosing and the receiving parties.

8. NO OTHER LICENSES

Except for the rights expressly provided by this Policy, no Adopting Party grants or receives hereunder, by implication, or estoppel, or otherwise, any rights under or to any Intellectual Property Rights.

APPROVED BY RESOLUTION OF THE BOARD OF DIRECTORS OF THE STORAGE NETWORKING INDUSTRY ASSOCIATION ON ~~SEPTEMBER 14, 2006.~~

Date: September 18, 2015