

# **Morgan & Claypool Publishers**

## **Synthesis License Agreement**

This License Agreement (this "Agreement") is made effective as of 1/27/2006 (the "Effective Date") between Morgan & Claypool Publishers, 1537 Fourth Street Suite 228 San Rafael, California 94901 USA and California Digital Library, 415 20th Street, 4th Floor, Oakland, California 94612 USA ("Licensee").

In consideration of the mutual promises contained herein and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the parties agree as follows:

### **I. Content of Licensed Materials; Grant of License**

The materials that are the subject of this Agreement shall consist of content from the Morgan & Claypool Synthesis Digital Library as described in Appendix A hereinafter referred to as the "Licensed Materials".

Licensee and its Authorized Users acknowledge that the copyright and title to the Licensed Materials and any trademarks or service marks relating thereto remain with Licensor and/or its suppliers. Neither Licensee nor its Authorized Users shall have right, title or interest in the Licensed Materials except as expressly set forth in this Agreement.

Licensor hereby grants to Licensee non-exclusive use of the Licensed Materials and the right to provide the Licensed Materials to Authorized Users in accordance with this Agreement.

### **II. Delivery/Access of Licensed Materials to Licensee**

Licensor will provide the Licensed Materials to the Licensee in the following manner:

Network Access. The Licensed Materials will be stored at one or more Licensor locations in digital form accessible by telecommunications links between such locations and authorized networks of Licensee.

File Transfer. Copies of the Licensed Materials will be provided to the Licensee through electronic transfer by means of File Transfer Protocol or otherwise.

### **III. Fees**

Licensee shall make payment to Licensor for use of the Licensed Materials pursuant to the terms set forth in Appendix A, attached hereto.

#### **IV. Authorized Use of Licensed Materials**

**Authorized Users.** "Authorized Users" are:

**Persons Affiliated with Licensee.** Full and part time students and employees (including faculty, staff, affiliated researchers and independent contractors) of Licensee and the institution of which it is a part, regardless of the physical location of such persons.

**Walk-ins.** Patrons not affiliated with Licensee who are physically present at Licensee's site(s) ("walk-ins").

**Authorized Uses.** Licensee and Authorized Users may make all use of the Licensed Materials as is consistent with the Fair Use Provisions of United States and international law. Nothing in this Agreement is intended to limit in any way whatsoever Licensee's or any Authorized User's rights under the Fair Use provisions of United States or international law to use the Licensed Materials.

The Licensed Materials may be used for purposes of research, education or other non-commercial use as follows:

**Display.** Licensee and Authorized Users shall have the right to electronically display the Licensed Materials.

**Digitally Copy.** Licensee and Authorized Users may download and digitally copy a reasonable portion of the Licensed Materials.

**Print Copy.** Licensee and Authorized Users may print a reasonable portion of the Licensed Materials.

**Recover Copying Costs.** Licensee may charge a fee to cover costs of copying or printing portions of Licensed Materials for Authorized Users.

**Archival/Backup Copy.** Upon request of Licensee, Licensee may receive from Licensor and/or create one (1) copy of the entire set of Licensed Materials to be maintained as a backup or archival copy during the term of this Agreement or as required to exercise Licensee's rights under Section XIII, "Perpetual License", of this Agreement.

**Course Packs.** Licensee and Authorized Users may use a reasonable portion of the Licensed Materials in the preparation of Course Packs or other educational materials.

**Electronic Reserve.** Licensee and Authorized Users may use a reasonable portion of the Licensed Materials for use in connection with specific courses of instruction offered by Licensee and/or its parent institution.

**Databases.** If the Licensed Materials are a database, compilation, or collection of information, Authorized Users shall be permitted to extract or use information contained

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in the database for educational, scientific, or research purposes, including extraction and manipulation of information for the purpose of illustration, explanation, example, comment, criticism, teaching, research, or analysis.

**Electronic Links.** Licensee may provide electronic links to the Licensed Materials from Licensee's web page(s), and is encouraged to do so in ways that will increase the usefulness of the Licensed Materials to Authorized Users. Licensor staff will assist Licensee upon request in creating such links effectively. Licensee may make changes in the appearance of such links and/or in statements accompanying such links as reasonably requested by Licensor.

**Caching.** Licensee and Authorized Users may make such local digital copies of the Licensed Materials as are necessary to ensure efficient use by Authorized Users by appropriate browser or other software.

**Indices.** Licensee may use the Licensed Materials in connection with the preparation of or access to integrated indices to the Licensed Materials, including author, article, abstract and keyword indices.

**Scholarly Sharing.** Authorized Users may transmit to a third party colleague in hard copy or electronically, minimal, insubstantial amounts of the Licensed Materials for personal use or scholarly, educational, or scientific research or professional use but in no case for re-sale. In addition, Authorized Users, upon request to the publisher, may be granted permission to reuse with appropriate credit, figures, tables and brief excerpts from the Licensed Materials in the Authorized User's own scientific, scholarly and educational works, when the Licensor holds the rights for this material.

**Interlibrary Loan.** Licensee may fulfill occasional requests from other institutions, a practice commonly called Interlibrary Loan, with printed material from SYNTHESIS. Licensee agrees to fulfill such requests in compliance with Section 108 of the United States Copyright Law (17 USC 108, "Limitations on exclusive rights: Reproduction by libraries and archives") and clause 3 of the Guidelines for the Proviso of Subsection 108(g)(2) prepared by the National Commission on New Technological Uses of Copyrighted Works.

## **V. Access by and Authentication of Authorized Users**

Licensee and its Authorized Users shall be granted access to the Licensed Materials pursuant to the following:

**IP Addresses.** Authorized Users shall be identified and authenticated by the use of Internet Protocol ("IP") addresses provided by Licensee to Licensor.

**Developing Protocols.** Authorized Users shall be identified and authenticated by such means and protocols as may be developed during the term of this Agreement.

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## **VI. Specific Restrictions on Use of Licensed Materials**

**Unauthorized Use.** Except as specifically provided elsewhere in this agreement, Licensee shall not knowingly permit anyone other than Authorized Users to use the Licensed Materials.

**Modification of Licensed Materials.** Licensee shall not modify or create a derivative work of the Licensed Materials without the prior written permission of Licensor.

**Removal of Copyright Notice.** Licensee may not remove, obscure or modify any copyright or other notices included in the Licensed Materials.

**Commercial Purposes.** Other than as specifically permitted in this Agreement, Licensee may not use the Licensed Materials for commercial purposes, including but not limited to the sale of the Licensed Materials or bulk reproduction or distribution of the Licensed Materials in any form.

## **VII. Licensor Performance Obligations**

**Availability of Licensed Materials.** Within 30 days of receipt of this signed agreement and licensing fee, Licensor shall make the Licensed Materials available to Licensee and Authorized Users.

**Documentation.** Licensor will provide and maintain help files and other appropriate user documentation.

**Support.** Licensor will offer activation or installation support, including assisting with the implementation of any Licensor software. Licensor will offer reasonable levels of continuing support to assist Licensee and Authorized Users in use of the Licensed Materials. Licensor will make its personnel available by email, phone or fax for feedback, problem-solving, or general questions.

**Training.** Licensor will provide appropriate training to Licensee staff relating to the use of the Licensed Materials and any Licensor software.

**Quality of Service.** Licensor shall use reasonable efforts to ensure that the Licensor's server or servers have sufficient capacity and rate of connectivity to provide the Licensee and its Authorized Users with a quality of service comparable to current standards in the on-line information provision industry in the Licensee's locale.

Licensor shall use reasonable efforts to provide continuous service with an average of 99% up-time per month. The 1% down-time includes periodic unavailability due to maintenance of the server(s), the installation or testing of software, the loading of additional Licensed Materials as they become available, and downtime related to the failure of equipment or services outside the control of Licensor, including but not limited to public or private telecommunications services or internet nodes or facilities. Scheduled

down-time will be performed at a time to minimize inconvenience to Licensee and its Authorized Users.

If the Licensed Materials fail to operate in conformance with the terms of this Agreement, Licensee shall immediately notify Licensor, and Licensor shall promptly use reasonable efforts to restore access to the Licensed Materials as soon as possible. In the event that Licensor fails to repair the nonconformity in a reasonable time, Licensor shall reimburse Licensee in an amount that the nonconformity is proportional to the total Fees owed by Licensee under this Agreement.

Notification of Modifications of Licensed Materials. Licensee understands that from time to time the Licensed Materials may be added to, modified, or deleted from by Licensor and/or that portions of the Licensed Materials may migrate to other formats. Licensor shall give prompt notice of any such changes to Licensee. Failure by Licensor to provide such reasonable notice shall be grounds for immediate termination of the Agreement by Licensee. If any modifications render the Licensed Materials less useful to the Licensee or its Authorized Users, the Licensee may treat such modifications as a material breach subject to the Early Termination provisions of this Agreement below.

Completeness of Content. Where applicable, Licensor will inform Licensee of instances where online content differs from the print versions of the Licensed Materials.

Where applicable, Licensor shall use reasonable efforts to ensure that the online content is at least as complete as print versions of the Licensed Materials, represents complete, accurate and timely replications of the corresponding content contained within the print versions of such Materials, and will cooperate with Licensee to identify and correct errors or omissions.

Continued Training. Licensor will provide regular system and project updates to Licensee as they become available. Licensor will provide additional training to Licensee staff made necessary by any updates or modifications to the Licensed Materials or any Licensor software.

Compliance with Americans with Disabilities Act. Licensor shall make efforts to comply with the Americans with Disabilities Act (ADA), by supporting assistive software or devices such as large print interfaces, voice-activated input, and alternate keyboard or pointer interfaces in a manner consistent with the Web Accessibility Initiative Web Content Accessibility Guidelines, which may be found at <http://www.w3.org/WAI/GL/#Publications>.

Withdrawal of Licensed Materials. Licensor reserves the right to withdraw from the Licensed Materials any item or part of an item for which it no longer retains the right to publish, or which it has reasonable grounds to believe infringes copyright or is defamatory, obscene, unlawful or otherwise objectionable. Licensor shall give written notice to the Licensee of such withdrawal no later than 30 days following the removal of any item pursuant to this section. If any such withdrawal renders the Licensed Materials

less useful to Licensee or its Authorized Users, Licensors shall reimburse Licensee in an amount that the withdrawal is proportional to the total Fees owed by Licensee under this Agreement.

Usage Data. Licensors shall provide usage statistics to Licensee on a monthly basis in conformance with the COUNTER Code of Practice and/or the *Guidelines for the Statistical Measures of Usage of Web-Based Indexed, Abstracted, and Full Text Resources* (December 2001), adopted and approved by the International Consortium of Library Consortia.

### **VIII. Licensee Performance Obligations**

Provision of Notice of License Terms to Authorized Users. Licensee shall make reasonable efforts to provide Authorized Users with appropriate notice of the terms and conditions under which access to the Licensed Materials is granted under this Agreement including, in particular, any limitations on access or use of the Licensed Materials as set forth in this Agreement.

Protection from Unauthorized Use. Licensee shall use reasonable efforts to inform Authorized Users of the restrictions on use of the Licensed Materials and shall use all reasonable efforts to protect the Licensed Material from any use that is not permitted under this agreement. In the event of any unauthorized use of the Licensed Materials by an Authorized User, (a) Licensors may suspend or terminate such Authorized User's access to the Licensed Materials, (b) upon notice to Licensee except in exigent circumstances, Licensors may suspend or terminate the access of the Internet Protocol ("IP") address(es) from which such unauthorized use occurred, and/or (c) Licensee may terminate such Authorized User's access to the Licensed Materials upon Licensors' request.

### **IX. Mutual Performance Obligations**

Confidentiality of User Data. Licensors and Licensee agree to maintain the confidentiality of any data relating to the usage of the Licensed Materials by Licensee and its Authorized Users. Such data may be used solely for purposes directly related to the Licensed Materials and may only be provided to third parties in aggregate form. Raw usage data, including but not limited to information relating to the identity of specific users and/or uses, shall not be provided to any third party, unless such disclosure is reasonably necessary for subpoena, court order or other legal proceeding..

Implementation of Developing Security Protocols. Licensee and Licensors shall cooperate in the implementation of security and control protocols and procedures as they are developed during the term of this Agreement.

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#### **X. Term**

This Agreement shall commence on the Effective Date and continue in effect for one year following the completion of delivery of the licensed content.

#### **XI. Renewal**

This Agreement shall be renewable to apply to additional content at the end of the current term if both parties execute a revised Appendix A.

#### **XII. Early Termination**

In the event that either party believes that the other materially has breached any obligations under this Agreement, or if Licensor believes that Licensee has exceeded the scope of the License, such party shall so notify the breaching party in writing. The breaching party shall have 60 days from the receipt of notice to cure the alleged breach and to notify the non-breaching party in writing that cure has been effected. If the breach is not cured within the 60 day period the non-breaching party shall have the right to terminate the Agreement without further notice.

Upon Termination of this Agreement for cause online access to the Licensed Materials by Licensee and Authorized Users shall be terminated. Authorized copies of Licensed Materials may be retained by Licensee or Authorized Users and used subject to the terms of this Agreement.

In the event of early termination permitted by this Agreement, Licensee shall be entitled to a refund of any fees or pro-rata portion thereof paid by Licensee for any remaining period of the Agreement from the date of termination.

#### **XIII. Perpetual License and Future Access**

Except for termination for cause, Licensor hereby grants to Licensee a nonexclusive, royalty-free, perpetual license to use any Licensed Materials that were accessible during the term of this Agreement. Such use shall be in accordance with the provisions of this Agreement, which provisions shall survive any termination of this Agreement.

Upon termination of this agreement Licensee may elect to continue to access the Licensed Material from the Licensee's servers upon payment of an annual hosting fee specified in Appendix A. The hosting fee will be waived as long as the Licensee continues to license additional content as published. The Licensee shall also have the option of downloading the Licensed Material in order to host it locally provided that use of the material continues to be in accordance with this agreement as above.

#### **XIV. Warranties**

Subject to the Limitations set forth elsewhere in this Agreement:

Licensor warrants that it has the right to license the rights granted under this Agreement to use Licensed Materials, that it has obtained any and all necessary permissions from third parties to license the Licensed Materials, and that use of the Licensed Materials by Authorized Users in accordance with the terms of this Agreement shall not infringe the copyright of any third party. The Licensor shall indemnify and hold Licensee and Authorized Users harmless for any losses, claims, damages, awards, penalties, or injuries incurred, including reasonable attorney's fees, which arise from any claim by any third party of an alleged infringement of copyright or any other property right arising out of the use of the Licensed Materials by the Licensee or any Authorized User in accordance with the terms of this Agreement. This indemnity shall survive the termination of this agreement. NO LIMITATION OF LIABILITY SET FORTH ELSEWHERE IN THIS AGREEMENT IS APPLICABLE TO THIS INDEMNIFICATION.

#### **XV. Limitations on Warranties**

Notwithstanding anything else in this Agreement:

Neither party shall be liable for any indirect, special, incidental, punitive or consequential damages, including but not limited to loss of data, business interruption, or loss of profits, arising out of the use of or the inability to use the Licensed Materials.

Licensor makes no representation or warranty, and expressly disclaims any liability with respect to the content of any Licensed Materials, including but not limited to errors or omissions contained therein, libel, infringement of rights of publicity, privacy, trademark rights, moral rights, or the disclosure of confidential information.

Except for the express warranties stated herein, the Licensed Materials are provided on an "as is" basis, and Licensor disclaims any and all other warranties, conditions, or representations (express, implied, oral or written), relating to the Licensed Materials or any part thereof, including, without limitation, any and all implied warranties of quality, performance, merchantability or fitness for a particular purpose. Licensor makes no warranties respecting any harm that may be caused by the transmission of a computer virus, worm, time bomb, logic bomb or other such computer program. Licensor further expressly disclaims any warranty or representation to Authorized Users, or to any third party.

#### **XVI. Indemnities**

Each party shall indemnify and hold the other harmless for any losses, claims, damages, awards, penalties, or injuries incurred by any third party, including reasonable attorney's fees, which arise from any alleged breach of such indemnifying party's representations and warranties made under this Agreement, provided that the indemnifying party is

promptly notified of any such claims. The indemnifying party shall have the sole right to defend such claims at its own expense. The other party shall provide, at the indemnifying party's expense, such assistance in investigating and defending such claims as the indemnifying party may reasonably request. This indemnity shall survive the termination of this Agreement.

#### **XVII. Assignment and Transfer**

Neither party may assign, directly or indirectly, all or part of its rights or obligations under this Agreement without the prior written consent of the other party, which consent shall not be unreasonably withheld or delayed.

#### **XVIII. Governing Law**

This Agreement shall be interpreted and construed according to, and governed by federal or state laws of the United States, excluding any laws that might direct the application of the laws of any other jurisdiction. The federal or state courts located in California shall have jurisdiction to hear any dispute under this Agreement.

#### **XIX. Dispute Resolution**

In the event any dispute or controversy arising out of or relating to this Agreement, the parties agree to exercise their best efforts to resolve the dispute as soon as possible. The parties shall, without delay, continue to perform their respective obligations under this Agreement which are not affected by the dispute.

**Mediation.** In the event that the parties can not by exercise of their best efforts resolve the dispute, they shall submit the dispute to Mediation. The parties shall, without delay, continue to perform their respective obligations under this Agreement which are not affected by the dispute. The invoking party shall give to the other party written notice of its decision to do so, including a description of the issues subject to the dispute and a proposed resolution thereof. Designated representatives of both parties shall attempt to resolve the dispute within 60 days after such notice. If those designated representatives cannot resolve the dispute, the parties shall meet at a mutually agreeable location and describe the dispute and their respective proposals for resolution to responsible executives of the disputing parties, who shall act in good faith to resolve the dispute. If the dispute is not resolved within 60 days after such meeting, the dispute shall be submitted to binding arbitration in accordance with the Arbitration provision of this Agreement.

**Arbitration.** Any controversies or disputes arising out of or relating to this Agreement shall be resolved by binding arbitration in accordance with the then current Commercial Arbitration Rules of the American Arbitration Association. The parties shall endeavor to select a mutually acceptable arbitrator knowledgeable about issues relating to the subject matter of this Agreement. In the event the parties are unable to agree to such a selection, each party will select an arbitrator and the arbitrators in turn shall select a third arbitrator.

The arbitration shall take place at a location that is reasonably centrally located between the parties, or otherwise mutually agreed upon by the parties.

All documents, materials, and information in the possession of each party that are in any way relevant to the claim(s) or dispute(s) shall be made available to the other party for review and copying no later than 60 days after the notice of arbitration is served.

The arbitrator(s) shall not have the authority, power, or right to alter, change, amend, modify, add, or subtract from any provision of this Agreement or to award punitive damages. The arbitrator shall have the power to issue mandatory orders and restraining orders in connection with the arbitration. The award rendered by the arbitrator shall be final and binding on the parties, and judgment may be entered thereon in any court having jurisdiction. The agreement to arbitration shall be specifically enforceable under prevailing arbitration law. During the continuance of any arbitration proceeding, the parties shall continue to perform their respective obligations under this Agreement.

#### **XX. Force Majeure**

Neither party shall be liable in damages or have the right to terminate this Agreement for any delay or default in performing hereunder if such delay or default is caused by conditions beyond its control including, but not limited to Acts of God, Government restrictions (including the denial or cancellation of any export or other necessary license), wars, insurrections and/or any other cause beyond the reasonable control of the party whose performance is affected.

#### **XXI. Entire Agreement**

This Agreement constitutes the entire agreement of the parties and supersedes all prior communications, understandings and agreements relating to the subject matter hereof, whether oral or written.

#### **XXII. Amendment**

No modification or claimed waiver of any provision of this Agreement shall be valid except by written amendment signed by authorized representatives of Licensor and Licensee.

#### **XXIII. Severability**

If any provision or provisions of this Agreement shall be held to be invalid, illegal, unenforceable or in conflict with the law of any jurisdiction, the validity, legality and enforceability of the remaining provisions shall not in any way be affected or impaired thereby.

#### **XXIV. Waiver of Contractual Right**

Waiver of any provision herein shall not be deemed a waiver of any other provision herein, nor shall waiver of any breach of this Agreement be construed as a continuing waiver of other breaches of the same or other provisions of this Agreement.

#### **XXV. Notices**

All notices given pursuant to this Agreement shall be in writing and may be hand delivered, or shall be deemed received within 30 days after mailing if sent by registered or certified mail, return receipt requested. If any notice is sent by facsimile, confirmation copies must be sent by mail or hand delivery to the specified address. Either party may from time to time change its Notice Address by written notice to the other party.

##### **If to Licensor:**

Morgan & Claypool Publishers, LLC

1537 Fourth Street, Suite 228

San Rafael, CA 94901 USA

##### **If to Licensee:**

California Digital Library  
415 20th Street, 4th Floor  
Oakland, CA 94612-2901

**IN WITNESS WHEREOF**, the parties have executed this Agreement by their respective, duly authorized representatives as of the date first above written.

##### **LICENSOR:**

[Text deleted]

BY: \_\_\_\_\_

DATE: 3/22/06

[Text deleted]

**President**

##### **LICENSEE:**

[Text deleted]

BY: \_\_\_\_\_

DATE: February 8, 2006

Signature of Authorized Signatory of Licensee

[Text  
deleted]

Print Name:

*ALL for Collections*

Title:

*UCI Libraries, P.O. Box 19557, Irvine, CA*

Address:

*92623-9557*

[Text  
deleted]

Telephone No.:

E-mail:

## Appendix A to Synthesis License Agreement

Dated 12/20/2005 between Morgan & Claypool Publishers LLC and California Digital Library.

**Licensed Content:** The Synthesis 2005-2006 Collection comprising 100 Synthesis Lectures numbered 1-100 to be published between October 2005 and August 2006 and the Synthesis 2006-2007 Collection comprising 125 Synthesis lectures numbered 101-

[Text deleted] f

**License Fee:** A one-time payment of \$0.00 x 100 for perpetual access to the collections at the following ~~site~~ University of California campuses: San Francisco, Los Angeles, Irvine, Berkeley, San Diego, Merced, and Davis.

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### Hosting Fee:

The license fee includes access to the content on the publisher's server for one year following completion of delivery of the content. Thereafter, the publisher may charge a hosting fee of no more than x 100 of the current license price of a collection comparable in size to the hosted content. This fee will be waived as long as the Licensee continues to license future content. The Licensee shall also have the right to locally host the content in accordance with Clause XIII.

**Appendix A to Synthesis License Agreement**  
**Dated 12/20/2005 between Morgan & Claypool Publishers LLC and California Digital Library.**

**Updated 10/9/08 to include U.C. Santa Cruz**  
**Updated 3.19.09 for Collection Three**

**Licensed Content:**

Synthesis Collection One comprising 100 Synthesis lectures numbered 1-100 and Synthesis Collection Two comprising 125 Synthesis lectures numbered 101-225.

**License Fee:**

A one-time payment of [Text deleted] for perpetual access to the collections at the following five University of California campuses: Los Angeles, Irvine, Berkeley, San Diego, Merced, and Davis

**10/9/08 Update:**

A one-time payment of [Text deleted] to add U.C. Santa Cruz to this agreement.

**3.19.09 Update:**

A one-time payment of [Text deleted] per institution for perpetual access to Collection Three at the following five University of California campuses: Los Angeles, Irvine, Berkeley, San Diego, and Davis.

**Hosting Fee:**

The license fee includes access to the content on the publisher's server for one year following completion of delivery of the content. Thereafter, the publisher may charge a hosting fee of no more than [Text deleted] of the current license price of a collection comparable in size to the hosted content. This fee will be waived as long as the Licensee continues to license future content. The Licensee shall also have the right to locally host the content in accordance with Clause XIII.

[Text deleted]

## **Appendix A to Synthesis License Agreement**

**Dated 12/20/2005 between Morgan & Claypool Publishers LLC and California Digital Library.**

**Updated 10/9/08 to include U.C. Santa Cruz**

**Licensed Content:** Synthesis Collection One comprising 100 Synthesis lectures numbered 1-100 and Synthesis Collection Two comprising 125 Synthesis lectures numbered 101-225.

**License Fee:** A one-time payment of [Text deleted] for perpetual access to the collections at the following five University of California campuses: Los Angeles, Irvine, Berkeley, San Diego, Merced, and Davis

**10/9/08 Update:** A one-time payment of [Text deleted] to add U.C. Santa Cruz to this agreement.

### **Hosting Fee:**

The license fee includes access to the content on the publisher's server for one year following completion of delivery of the content. Thereafter, the publisher may charge a hosting fee of no more than [Text deleted] of the current license price of a collection comparable in size to the hosted content. This fee will be waived as long as the Licensee continues to license future content. The Licensee shall also have the right to locally host the content in accordance with Clause XIII.