

# Data protection notice in accordance with the EU General Data Protection Regulation for natural persons

Valid as of August 2020

The following information provides you with an overview of the processing of your personal data by us and your rights under data protection law. The specific data that is processed and how it is used depends largely on the purpose of the processing.

## 1. Who is responsible for data processing and whom can I contact?

The controller is:

Société Générale Securities Services GmbH  
Humboldtstraße 8  
85609 Aschheim, Germany

You can reach our company data protection officer at:

Société Générale Securities Services GmbH  
Data Protection Officer  
Humboldtstraße 8  
D-85609 Aschheim, Germany  
E-mail address: gm.datenschutz@sgss.socgen.com

## 2. Which sources and data do we use?

We mainly process personal data from legal representatives and employees of companies with which we are in business contact or with which we establish business contact (business contacts). In addition – where necessary for the provision of our service – we process personal data that we have received from our customers as permitted (e.g. to execute orders, fulfil contracts, submit fund reports). In addition, we process personal data that we receive as part of our business relationships with our service providers. Moreover, we process personal data that we have legitimately acquired from publicly available sources (e.g. commercial registers) and are permitted to process.

Relevant personal data in the context of our business relationship with you personally or as representatives, employees, contractual partners or shareholders of our customers may include:

Name, business address or other business contact details (telephone, fax, e-mail address), residential address or other private contact details (telephone, fax, e-mail address).

From the categories listed below, other personal data may be collected, processed and stored in addition to the aforementioned data.

### Business contact details

Further personal data is generated in the course of the business start-up phase and during the business relationship, in particular through personal, telephone or written contacts initiated by you or by us, e.g. information about contact channel, date, cause and outcome, (electronic) copies of correspondence and information about participation in direct marketing activities.

### Account and payment transactions

Order data (e.g. payment orders), data from the fulfilment of our contractual obligations (e.g. payment transaction data).

### General due diligence

Information on your name, place of birth, date of birth, citizenship and residential address prior to establishing a business relationship in accordance with money laundering regulations. Information about your name and professional data from regulations for investment management companies.

### Special funds

Information about your name and address as shareholders of partnerships that are, directly or indirectly, investors in a special investment fund and that is transmitted to us by these partnerships.

## 3. What do we process your data for (purpose of processing) and on what legal basis?

We process the aforementioned personal data in accordance with the provisions of the EU General Data Protection Regulation (GDPR) and the Federal Data Protection Act (BDSG):

### a. For the fulfilment of contractual obligations (Article 6 (1) GDPR)

The processing of personal data takes place as part of the execution of our contracts with our service providers or for the implementation of pre-contractual measures as well as for the processing of billing.

### b. As part of the balance of interests (Article 6 (1) f GDPR)

For business contacts or employees of business partners of our customers – where necessary – we process your data for the protection of legitimate interests of ourselves or third parties. Examples:

- Contacting investment companies via e-mail/telephone as part of the execution of our business relationship
- Informing and actively supporting interested parties, customers and distribution partners via the internet, e-mail and telephone
- Information about products/services and their changes
- Customer approach as part of marketing campaigns
- Addressing marketing information to specific target groups
- Measures to buy, sell or exchange funds or other assets
- Information about account and custody account balances and other data that the customer or its service providers (such as asset managers) need
- Measures for business control and further development of services and products for the acquisition of new customers and distribution partners via the internet, e-mail and telephone
- Transmitting fund reports
- Including fund master data (e.g. the name of the fund manager) in the fund accounting system for the preparation of fund reports
- Asserting legal claims and defence in legal disputes
- Ensuring e-mail communication
- Data exchange and customer care in the Group
- Reliability testing to assess and manage risks in the company
- Video surveillance to safeguard the power to enforce house rules and to collect evidence of robbery or other criminal offences
- Crime prevention

When you register with SGSS VIEW on our website, and provide us with personal information, your credentials will only be used for SGSS VIEW services. When you use this online offer, we keep records of how you use the application. We use the data to analyse and improve the structure and navigation of our website and to offer you further functionalities and services based on these analysis.

### c. On the basis of your consent (Article 6 (1) a GDPR)

If you have given us consent to the processing of personal data for specific purposes (e.g. use of mobile internet access (Wi-Fi) in our business premises), the lawfulness of this processing is based on your consent.

### d. Due to legal requirements (Article 6 (1) c GDPR)

As an investment management company, we are subject to various legal obligations, i.e. legal requirements (e.g. Capital Investment Code, Money Laundering Act, Investment Tax Act) as well as supervisory requirements (e.g. the European Securities and Markets Authority). The purposes of the processing include, but are not limited to, the verification of identity and reliability, prevention of fraud and money laundering, the fulfilment of tax compliance and reporting obligations as well as regulatory reporting obligations and the control of investment rules, the assessment and management of risks within the company, the provision of IT security and IT operations and measures for building and plant safety (e.g. access control). In addition, we record the content of telephone conversations in securities trading and in the support of asset managers.

## 4. Who receives my data?

Within the investment management company, those bodies gain access to your data which require it to fulfil our contractual and legal obligations. Our service providers and vicarious agents may also receive data for these purposes if they safeguard banking secrecy and our written data protection directives. These are essentially companies belonging to the categories listed below.

With regard to the transfer of data to recipients outside the management company, it should first be noted that we, as an investment management company, are required to observe secrecy about all personal facts and valuations of which we obtain knowledge. We may only disclose information about you if statutory provisions require it, if you have consented to it, if we have the authority to provide information and/or if commissioned processors guarantee compliance with banking secrecy and the provisions of the EU General Data Protection Regulation/Federal Data Protection Act.

Under these conditions, recipients of personal data may include:

- Public bodies and institutions (such as the German Federal Financial Supervisory Authority, the European Securities and Markets Authority (ESMA), the tax authorities, the Federal Central Tax Office) or investigating authorities when there is a legal or regulatory obligation.
- Other capital management companies, advisers, institutional investors, depositaries, similar institutions and Group companies, as well as processors to whom we provide personal data to conduct the business relationship with you or with our customers. In detail: Archiving, auditing

services, call centre services, collection, compliance services, controlling, customer administration, data destruction, data screening for anti-money laundering purposes, expense reporting, fund administration, group services, investment services, marketing, payment transactions, purchasing / procurement, receipt processing, reporting, risk controlling, support / maintenance of IT / IT applications, space management.

Other data recipients may include those bodies for whom you have given your consent to submit the data.

## 5. Is data transmitted to a third country or to an international organisation?

A transfer of data to bodies in countries outside the European Union or the European Economic Area (so-called third countries) takes place as required by law, if you have given us your consent or if justified by a legitimate interest under data protection law and not opposed by any higher interests worthy of protection of the data subject. For certain tasks, we use service providers who in turn use service providers who may have their headquarters, parent company or data centres in a third country. Transmission is permitted if the agreement of EU standard contractual clauses (adopted by the EU Commission or the supervisory authority in a specific procedure) obliges service providers to comply with the level of data protection in Europe and provides enforceable rights and effective remedies. If services of Group companies in third countries are used to fulfil our contractual or legal obligations, they are also obliged to comply with the data protection level in Europe by agreeing on binding corporate rules (BCR); these must be approved by the responsible supervisory authority. For third countries for which there is an adequate level of protection of personal data in Europe by order of the EU Commission (Article 45 GDPR), additional written agreements are not necessary. Moreover, we do not transmit personal data to international organisations.

## 6. How long is my data stored?

We process and store your personal data for as long as the processing purpose requires it and for as long as it is necessary for the fulfilment of our contractual and legal obligations.

If the data is no longer necessary for the fulfilment of the processing purpose or contractual or legal obligations, this data will be deleted regularly, unless its – temporary – storage or further processing is required for the following purposes:

- Fulfilment of commercial and tax retention periods: These include the Commercial Code, the Tax Code, the Money Laundering Act and the Securities Trading Act as well as other regulatory legislation. The deadlines for retention or documentation are two to ten years.
- Preservation of evidence under statutes of limitations. According to §§195 et seq. of the Civil Code (BGB), these limitation periods may be up to 30 years, whereby the regular limitation period is three years.

## 7. What data protection rights do I have?

Each data subject has the right to information under Article 15 GDPR, the right to a correction under Article 16 GDPR, the right to deletion under Article 17 GDPR, the right to restriction of processing under Article 18 GDPR, the right to data portability under Article 20 GDPR and the right of objection under Article 21 GDPR. With regard to the right to information and the right to deletion, the restrictions under §§ 34 and 35 BDSG apply. In addition, there is a right of appeal to a data protection supervisory authority (Article 77 GDPR in connection with § 19 BDSG).

You may revoke any consent given to the processing of personal data at any time. This also applies to the revocation of declarations of consent that were given to us before the validity of the EU General Data Protection Regulation, i.e. before 25 May 2018. Please note that the revocation is only effective for the future. Processing that occurred before the revocation is not affected.

## 8. Is there an obligation for me to provide data?

As a corporate representative or employee of our clients, as part of the business relationship, you must provide the personal data necessary to enter into and carry out a business relationship and fulfil the related contractual obligations to our customers, or the personal data which we are legally required to collect. Without this data, we will generally have to refuse to conclude a contract or execute an order, or be unable to continue to execute an existing contract and may have to terminate it.

In particular, according to money laundering regulations, we are obliged to identify you prior to the establishment of the business relationship with our customers, for example, by means of your identity card and to collect and record your name, place of birth, date of birth, citizenship and address. In order for us to be able to fulfil this legal obligation, you must provide us with the necessary information and documents in accordance with the Money Laundering Act and immediately notify us of any changes resulting in the course of the business relationship. If you do not provide us with the necessary information and documents, we are not permitted to initiate or continue the desired business relationship with customers.

Moreover, as part of the outsourcing of tasks of an investment management company to another company under the Capital Investment Code (KAGB), we are required to examine your reliability. For this purpose, we collect documents (such as your CV) from you that demonstrate your sufficient experience and aptitude for the tasks to be transferred. If you do not provide us with the necessary information and documents, we are not permitted to carry out or continue the desired outsourcing.

## 9. To what extent is there automatic decision-making (including profiling)?

In order to establish and conduct the business relationship with you or our institutional clients, we do not use fully automated decision-making according to Article 22 GDPR. This also applies to all other purposes for which we process your personal data. If we use these procedures in individual cases, we will inform you about this separately if required by law.

In addition, we do not process your data automatically with the aim of evaluating certain personal aspects (profiling).

### Information about your right of objection under Article 21 of the EU General Data Protection Regulation (GDPR)

#### 1. Case-specific right of objection

You have the right at any time, for reasons arising out of your particular situation, to object to the processing of personal data pertaining to you pursuant to Article 6 (1) e GDPR (data processing in the public interest) and Article 6 (1) f GDPR (data processing on the basis of a balance of interests); this also applies to profiling based on this provision within the meaning of Article 4 (4) GDPR.

If you object, we will no longer process your personal data unless we can establish compelling legitimate grounds for processing that outweigh your interests, rights and freedoms, or unless the processing is for the purposes of asserting, exercising or defending against legal claims.

#### 2. Right to object to the processing of data for advertising purposes

In individual cases, we process your personal data in order to operate direct marketing. You have the right to object at any time to the processing of personal data pertaining to you for the purposes of such advertising; this also applies to profiling insofar as it is associated with such direct marketing. If you object to the processing for direct marketing purposes, we will no longer process your personal data for such purposes.

The objection can be made without a requirement for form and should be addressed as e-mail with the subject "Objection", including your name, company and address, to: gm.datenschutz@sgss.socgen.com.