

## Privacy Notice

Under this privacy notice (the “**Notice**”), **Clearstream Fund Centre AG** (“**We**”, “**Us**”, “**Our**”, or “**Clearstream**”) informs you how We process your Personal Data in connection with the use of Our services and Our website which is accessible under [www.clearstream.com](http://www.clearstream.com). Personal Data means any information directly or indirectly relating to an identified or identifiable individual (the “**Personal Data**”), such as name or contact details.

We process Personal Data in accordance with the Swiss Federal Act on Data Protection of 25 September 2020 (“**FADP**”) including the Ordinance thereto, and the General Data Protection Regulation EU 2016/679 (“**GDPR**”), as amended from time to time. We use the terminology of the GDPR in this Notice, but this should also include the analogous terms of the DPA, unless expressly stated otherwise.

### 1 **Controller**

#### 1.1 **Our Identity and Contact Details**

We are a company incorporated in Switzerland in the commercial register of canton Zurich (CHE-104.191.997). We operate a platform for the offer, distribution and placement of domestic and foreign collective investment schemes in Switzerland and abroad, as well as the provision of market information, in particular fund data, and other platform related services.

We are the responsible party for data processing, also known as a “**Controller**”.

Our contact details are:

*Clearstream Fund Centre AG*

*Hardstrasse 201*

*8005 Zürich*

*Switzerland*

*E-Mail: [dataprotection@clearstream.com](mailto:dataprotection@clearstream.com)*

In accordance with the FADP, We have appointed an EU representative to act on Our behalf, which serves as a point of contact for data subjects and supervisory authorities within the EU:

The contact details of Our EU representative are:

*Clearstream Fund Centre S.A.*

*42, Avenue J.F. Kennedy*

*L-1855 Luxemburg*

*E-Mail: [dataprotection@clearstream.com](mailto:dataprotection@clearstream.com)*

#### 1.2 **Contact Details for Data Protection related Matters**

If you have any questions, concerns, or requests regarding data processing activities or your rights under the FADP and the GDPR, you can reach out to Us using the following e-mail address:

E-mail: [dataprotection@clearstream.com](mailto:dataprotection@clearstream.com)

## 2 Categories of Personal Data, Purpose, Legal Basis and Retention

### 2.1 Categories of Personal Data

We may collect, store and process Personal Data that We receive from you or other sources during the course of Our business relationship. Personal Data includes the following information:

- **Identification data:** Business contact details, full name, age, gender, birthdate and place, nationality, citizenship, identity number, passport number, identity card with photo, civil status, profession, the position within the company, signature, profile picture, the role with regard to the Clearstream system, in particular professional contact details of Fund Providers and Sub-Distributors and their representatives and employees, users of the platform, end-investors, and customers;

- **Contact data:** email, address, phone number, fax number, proof of address, and a hyperlink to your LinkedIn® profile;

- **Tax related data:** tax identifiers, countries of tax residency, tax status, tax certificates;

- **AML/KYC related data:** source of wealth, source of funds, contract master data, customer history, billing and payment data, power of attorney status, PEP status, sanctions status, income, related parties;

- **Communication data:** recordings such as video or telephone recordings, support requests, or client communications via electronic or other means (e.g., data deriving from the platform's chat functionality).

- In some cases (and to the extent permitted by law), We may be required to process special categories of Personal Data (**sensitive Personal Data**) as defined by the FADP and the GDPR, including Personal Data relating to political opinions as well as criminal convictions and offences (e.g., as part of Our compliance with legal obligations such as AML/KYC).

- We may process any other information pertaining to you that has been disclosed or becomes known to Us in the context of Our business relationship.

We will collect your Personal Data from various sources, namely:

- directly from you;
- from third parties representing you;
- from third parties representing Us;
- from Our service providers;
- from public registers/platforms;
- from public agencies/authorities.

### 2.2 Purposes of Our Processing and Legal Bases

We process the aforementioned personal data in accordance with the provisions of FDPA and, if applicable, in accordance with the GDPR.

Personal data of clients/counterparties and other concerned persons are always processed for a specific purpose and only to the extent necessary to achieve that purpose. The main purposes of such data processing are as follows:

**2.2.1 General contact by e-mail, post or telephone:** We collect your Personal Data when i) you provide it to Us via Our contact forms or ii) when you contact Us directly by e-mail, post or telephone. After the initial contact, We process the information in the course of establishing contact. This includes, in particular, names and contact data provided (such as for example address, telephone number or e-mail address), date and reason for contact. The Personal Data will only be used to answer and fulfil your specific enquiries. The legal basis, as required under GDPR, is Art. 6 para. 1 lit. (f) GDPR, which permits the processing of Personal Data for the purpose of Our legitimate interest in processing and answering your enquiry. Your Personal Data processed in this respect will be stored by Us for as long as it is necessary to carry out Our relationship (communication) with you and in accordance with the applicable legal storage regulations.

**2.2.2 Sales, Marketing and invitations** including customer/supplier relationship management: We may use your Personal Data (such as for example name, first name, address, company, telephone number, e-mail address) to send you information about Our services, partners, promotions and events that We think may be of interest to you. We may contact you by e-mail based on Our legitimate interests under Art. 6 para. 1 lit. (f) of the GDPR if We have a direct business relationship with you or with the company for which you work, and if you have not objected. We may contact you by telephone if you have given your consent (Art. 6 para. 1 lit. (a) GDPR). We may contact you by mail on the basis of Our legitimate interests under Art. 6 para.1 lit. (f) GDPR as long as you do not object. In such cases, it is Our legitimate interest to inform business partners, including their employees, or customers about such services and products that may be of interest to them and thus to maintain Our existing or future business relationship and the collection of market intelligence incl. gathering of requests for new products and service enhancements. Your Personal Data processed in this respect will be stored by Us as long as it is necessary to carry out Our relationship (such as for communication) with you and in accordance with the applicable legal storage regulations.

**2.2.3 Performance of contracts and services:** to perform any pre-contractual and contractual measures and to fulfil Our contractual obligations. If you or your company wants to be authorised as a customer of one of Our services, We may collect your Personal Data (such as for example titles, name, year and date of birth, sex, occupation, nationality, City of Birth, work postal address, work telephone number, work email address; private postal address, private telephone number, signature, or ID) to register you to the usage of Our service. The purposes of Personal Data processing are determined by the specific service or product. This may include especially assessments, consultation, trading activities, relationship management, client communication, client support and the execution of business accounting and charges. As required under the GDPR, the legal basis for processing this Personal Data is Art. 6 (1) lit. (b) GDPR, as processing is necessary to fulfil a contract or for pre-contractual measures between Us and the customer. If the user is not the customer who concluded the contract with Us, but an employee of the customer or otherwise authorised by the customer to use Our services, the legal basis for processing is Art. 6 (1) lit. (f) GDPR, as the processing is in the legitimate interest of the customer. The legitimate interest of the customer is to enable the user to use Our services in accordance with the contract. Your Personal Data processed in this regard will be stored by Us as long as it is necessary to carry out Our relationship (registration and use of Our service) with you or, if longer, required by applicable statutory retention laws.

**2.2.4 General use of Our website and online platforms:** When you use Our website ([www.clearstream.com](http://www.clearstream.com)) and online platforms, We will automatically log information about the browser that is used to access the website, such as your internet protocol (IP) address, session time, pages viewed from that address and the website from which you are visiting the website. We may also collect device-

specific information, such as your hardware model and operating system. We use this information to identify and prevent malpractice and crime and to investigate improper conduct.

The legal basis for the processing of your Personal Data for these purposes is Art. 6 para. 1 lit. (f) GDPR in order to ensure that you can access Our Website and Our Website is presented to you in the best manner and to ensure the stability and security of Our Website. After a period of 30 days, Your Personal Data will be deleted. If your Personal Data is processed for a longer period of time, We will anonymise and delete the it as soon as We no longer need it for the mentioned purposes.

**2.2.5 Due diligence carried out by any third party** that: (i) acquires, or is interested in acquiring or securitizing, all or part of Our assets or shares, (ii) succeeds to Us in carrying on all or a part of Our businesses, or services provided to Us, whether by merger, acquisition, financing, reorganization or otherwise, or (iii) intends to onboard Us as a client or a co-investor or otherwise (identification data, contact data, tax related data, AML/KYC related data and communication data). As required under GDPR the legal basis for processing this Personal Data will be Our legitimate interest not overriding your interests or fundamental rights and freedoms (Art. 6 para. 1 (f) GDPR)

**2.2.6 Litigation, mergers, acquisitions or other business transactions involving Us or Our affiliates:** We may process your Personal Data (such as identification data, contact data, tax related data, AML/KYC related data and communication data) in the event of a dispute, of a transaction or any commercial communication as well as in connection with any proposed purchase, merger or acquisition of any part of Our business, to courts, regulators and authorities having jurisdiction over Clearstream, its affiliates or any other third parties engaged by Clearstream or its affiliates. As required under GDPR the legal basis for processing this Personal Data will be Our legitimate interest not overriding your interests or fundamental rights and freedoms (Art. 6 para. 1 (f) GDPR).

**2.2.7 Legal Compliance and Regulatory Obligations:** We may process your Personal Data (such as identification data, contact data, tax related data, AML/KYC related data and communication data) to comply with applicable laws and regulations and/or to meet regulatory requirements and respond to lawful requests from courts and public authorities, including supervisory, regulatory or tax authorities. As required under GDPR the legal basis for processing this Personal Data will be the fulfilment of legal obligations (Art. 6 para. 1 (c) GDPR) and Our legitimate interests not overriding your interests or fundamental rights and freedoms (Art. 6 para. 1 (f) GDPR).

**2.2.8 Fraud prevention / risk management / audit and investigations:** We may process your Personal Data (including identification data, contact data, tax related data, AML/KYC related data and communication data) to protect against, identify, and prevent fraud and other unlawful activities. We may further process your Personal Data to assess and manage risks associated with our business activities, including financial, operational, and compliance risks, to ensure a secure and stable environment. We may also process your Personal Data to conduct internal and external audits to verify the accuracy and completeness of Our financial records, and the effectiveness of Our internal controls and we may process your Personal Data to investigate any suspected or actual breaches of Our policies, legal requirements, or contractual obligations to take appropriate corrective actions and prevent future occurrences. Such processing is based on Our legitimate interests (Art. 6 para. 1 (f) GDPR).

Where consent is required under applicable data protections laws to process Personal Data for a specific purpose (e.g., marketing/promotional measures), We rely on your consent as legal basis for such processing (Art. 6 para. 1 (a) GDPR). You can revoke your given consent at any time with effect for the future.

## 2.2 Automated Decision-making Procedures

We do not make any automated decisions solely on automatic processing, including profiling, which produces legal effects concerning you or similarly significantly affects you.

## 2.3 Retention Periods

We process and retain your Personal Data for as long as Our processing purposes, the statutory retention periods or Our legitimate interests regarding documentation require it. Except in case of contrary legal or contractual retention obligations, We will delete or anonymize your Personal Data once the applicable storage or processing period has expired.

The retention periods for Personal Data depend on the purpose of the processing. We will store the Personal Data mentioned under 2.1 above as long as (i) this is necessary for the respective purpose or (ii) this is required in accordance with the applicable statutory retention periods, such as stated in the Swiss Code of Obligations or other corresponding Swiss law. We will generally keep Personal Data that you provide to Us for as long as Our business relationship with you or with your company exists and all applicable statutory retention periods expire, unless We have legitimate interests to keep such Personal Data longer (e.g., to assert claims within the statutory limitation periods).

In general, and subject to the above, We retain business-related documents for 10 years (in particular contracts, personnel documents, social insurance and payroll documents). In the case of contracts, the retention period begins when they have ended. For the remaining documents, the retention period begins with the end of the financial year.

## 3 Transfer of Personal Data to Third Parties

We will not transfer your Personal Data to third parties except such transfer is permitted by applicable data protection laws.

We may transfer your Personal Data with the following recipients (in compliance with applicable legal requirements):

- Public authorities, including tax authorities and courts (in Germany, Switzerland and other countries), where We are legally obliged or entitled to such disclosure or if it appears necessary to protect Our interests. For example, a transfer of your Personal Data is permitted if there is a suspicion of a criminal offence or the abuse of the services offered on Our platform. In this event, We are entitled to transfer your Personal Data to the criminal prosecution authority.
- Service providers: This can include third-party providers from whom We use Cookies on Our Website, IT service providers (e.g. for purposes of IT hosting, operation and support etc.), business analytics providers, etc.
- Legal and professional advisors: We may share your Personal Data with accountants, auditors and other legal and professional advisors.
- Contractual partners: We may share your Personal Data with contractual partners to the extent the disclosure results from such contracts.
- Business partners: We may share your Personal Data with business partners.

- Transaction partners and advisors: Also, transaction partners and advisors in connection with mergers, acquisitions or other business transactions involving Us may receive your data.

In connection with the transfers of Personal Data to Third Parties, We may transfer your data to the following countries that offer adequate protection pursuant to the FADP and/or GDPR: such as EEA member states, UK.

To the extent necessary, We may also transfer your Personal Data depending on your activities connected to countries which do not offer adequate protection pursuant to the FADP and/or GDPR (if necessary for the respective processing purpose, and e.g. IT services). Such transfer is secured by appropriate safeguards (such as Standard Contractual Clauses including amendments necessary under Swiss law) or based on a statutory exemption (e.g., if you have given your consent to the transfer, if the transfer is directly connected with the conclusion of performance of a contract with our or if the transfer is necessary for the establishment, exercise or enforcement of legal claims before a foreign authority). Within the scope of the GDPR, you may ask Us for a copy of the relevant safeguards by contacting Us as indicated at the beginning of this Privacy Notice.

#### **4 Cookie Policy**

We use Cookies on Our website and on Our platform. Cookies are small files that are stored on your terminal device and save certain settings and data when you visit Our Websites via your browser. For example, Cookies enable Us to tailor a website to better match your interests or to store your password so that you do not have to re-enter it every time. We do not collect Personal Data via Cookies, unless you have given Us your permission to do so. Consent can be withdrawn at any time.

If you do not want Us to recognise your terminal device on each subsequent visit, please configure your Internet browser to erase all Cookies from your device, to block all Cookies or to receive a warning before a Cookie is stored.

Please note that certain functions of Our website may no longer work, or not correctly, work without Cookies.

Specifically, We use the following types of Cookies for the following purposes:

##### **i. Necessary Cookies**

These Cookies are mandatory for you to navigate within websites and operate basic website functions, such as, language detection or the issuance of anonymous Session IDs for bundling several related queries to a server. Since Our website cannot be provided without these Cookies, they are set automatically when you access Our website.

##### **ii. Performance Cookies**

These Cookies are used to collect information on the usage of Our websites, including for example the Internet browsers and operating systems used, the domain name of the website which you previously visited, the number of visits, average duration of visit, and pages called up. These Cookies do not store any information that would make it possible to personally identify the user. The information collected with the aid of these Cookies is aggregated and is therefore anonymous. Information collected by these Cookies is used only to improve your use of Our Website and never to identify you. These cookies are sometimes placed by trusted third-party providers.

### iii. Functional Cookies

These Cookies are used to enable a website to store information the user has already entered (such as user ID, language selection, or the user's location), in order to offer improved, personalised functions to the user. Functional Cookies are also used to enable requested functions such as playing videos and to make a user's decision to block or disable a certain function (e.g. web analysis) – so called "opt-out cookies".

### iv. Cookies for marketing purposes

These Cookies are used to offer more relevant content to users, based on their specific interests. They are also used to limit the display frequency of an ad and to measure and control the effectiveness of advertising campaigns. They register whether users have visited a website or not, and which contents were used. This information may possibly also be shared with third parties, such as advertisers. These Cookies are often linked to the functions of third-party websites.

A list of the cookies in use can be found here (and in the notices accessible from the page):

<https://www.clearstream.com/clearstream-en/privacy-policy-1277786>

List of cookies can also be accessed by clicking on the 'floating icon' present on the website/platform.

## 5 Your Rights

Under applicable data protection laws, you can assert the following rights against Us at any time:

- Right of access to, rectification of, and/or erasure of your Personal Data;
- Right to restrict or object to its processing;
- Right to tell Us that you do not wish to receive marketing information; and
- (in some circumstances) Right to require certain of your Personal Data to be transferred to you or a third party in a common, machine-readable format. If you request the direct transfer of the data to another responsible party, this will only be done insofar as it is technically feasible.

To the extent Our processing of your Personal Data is based on your consent, you also have the right to withdraw your consent at any time for the future, without affecting the lawfulness of Our processing based on your consent before its withdrawal.

To exercise your rights, you can contact Us at the contact details listed in Section 1 above.

Furthermore, you have the right to lodge a complaint about Our processing of your Personal Data with the data protection supervisory authority if you are of the opinion that the processing is not lawful. The right of appeal is without prejudice to any other administrative or judicial remedy. The contact details of the data protection supervisory authority responsible for Us is the following:

For data processing only subject to the FADP: **Federal Data Protection and Information Commissioner ("FDPIC")**, Feldeggweg 1, CH-3003 Bern, Contact Form:

<https://www.edoeb.admin.ch/edoeb/de/home/der-edoeb/kontakt/kontaktformular.htmlStatus>.

For data processing subject to the GDPR, please find the **data protection authority in the EU Member State** of your habitual residence, place of work or of an alleged infringement of applicable data protection

laws. A list and contact details of local data protection authorities is available here:  
[https://edpb.europa.eu/about-edpb/about-edpb/members\\_en#member-it](https://edpb.europa.eu/about-edpb/about-edpb/members_en#member-it).

## **6 Status**

This Notice was last updated on December 2024. It is conceived as a notice explaining what We do to demonstrate Our compliance with the applicable data protection laws.

This Notice does not form part of any contract with you, and We may amend it at any time. The version published on Our website is the version that currently applies.

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