

Privacy Statement

1. Who we are and where you can reach us

This Privacy Statement is intended to inform you about how we process your personal data (hereafter also “data”). For the purposes of data protection law, the controller of your personal data is generally Van Lanschot Kempfen (Schweiz) AG, Mittelstrasse 10, 8008 Zurich (“we” or “us”). We are part of the Van Lanschot Kempfen group. Where another Van Lanschot Kempfen group company acts as the controller or as a joint controller, this will be indicated in the specific context. For information on how we work with other Van Lanschot Kempfen group companies, see the “How we work together in the Van Lanschot Kempfen group” section below.

For any data protection inquiries, you can contact us as follows:

- Email: data-protection@vanlanschotkempfen.ch
- Post: Data Protection Officer, c/o Van Lanschot Kempfen (Schweiz) AG
Mittelstrasse 10, PO Box 3078, 8034 Zurich, Switzerland.

2. Scope

We have drafted this Privacy Statement based on the Swiss Data Protection Act (FDPA), but we have also considered the European General Data Protection Regulation (GDPR) and other applicable data protection laws. This Privacy Statement applies to the processing of your data whenever you visit one of our websites, acquire or use our services or products or otherwise enter into a relationship with us, register for particular offers or other services (e.g. one of our newsletters) or have any dealings with us involving any data processing.

We process several categories of personal data. The key categories and their respective processing purposes are outlined below and provided for your reference.

3. Data processed by us regarding customers, prospects, distribution partners, service providers and other contractual and non-contractual partners

We may specifically process the following personal data relating to you and individuals associated with you:

- Master data, such as your name, your address, title, date of birth, e-mail address, telephone numbers, sex, information contained in identity documents and compliance-related documents (including a copy of your identity card or passport), and tax-relevant documents and information;
- Professional details including your contact details, job title, evidence of your authority or details of your association with the entity, partnership, trust or fund that you represent, own or are otherwise associated with;
- Contractual data, e.g. information relating to contracts and services provided or to be provided, as well as pre-contractual data, information relating to the conclusion of the contract itself (e.g. the date on which the contract was concluded and the subject matter of the contract), along with information necessary or used for the purpose of performance, such as information concerning the nature, duration and terms of the contract concerned, data relating to the termination of the contract, information concerning the usage of services, information relating to languages and language preferences, details of payments and payment arrangements, invoices, reciprocal claims, contact persons, contacts with us, information concerning customer satisfaction, and where appropriate access and log in data;
- Communication data, such as notes of meetings, conversations or other interactions (including recorded e-mails and telephone conversations). This may include information about the content of correspondence, the nature and timing of communication, and, in certain circumstances, the location of communication, as well as other general information relating to the communication;
- Data concerning preferences that inform us concerning the needs that you are likely to have and the services that may be of interest to you (e.g. when selecting thematic areas for the newsletter). To this end, we may cross-reference behavioural data with other data and evaluate it either in relation to a specific person or independently of any specific person.

We process this personal data in particular for the following purposes:

- Due diligence in relation to onboarding, for example to confirm your identity, to assess contractual requests and to carry out checks concerning compliance with legal or regulatory requirements (e.g. concerning compliance with the rules on the prevention of money laundering and the prevention of fraud);
- Ensuring the proper supply of products and the proper provision of services, such as documenting agreements, recording instructions, managing the client file and communicating with you in person, by telephone, fax, mail or e-mail;
- Administration, such as the processing of payment-related information and the preparation of internal business reports;
- The maintenance, management and development of our relationship with you, including the processing of preferences relating to products and services and the marketing of products or services that we think may be of interest for you;
- Meeting our legal, regulatory and compliance obligations within ongoing contractual relationships including for the purpose of preventing financial crime (e.g. legal provisions applicable to the financial sector and on the prevention of money laundering, as well as tax legislation), and for the purposes of risk management. This includes for example transaction reporting, tax reporting, making disclosures to, and complying with requests from, public authorities (e.g. regulators and tax authorities) and other government bodies or law enforcement agencies and investigating or preventing fraud or any other crime. This may include recording telephone conversations, storing e-mails and monitoring usage of platforms and web-based applications.

We usually receive the relevant data from you, but we may also obtain personal data from third parties. These include bodies acting on your behalf, as well as third parties such as our contractual partners, associations and list brokers. We may also obtain data from publicly accessible sources such as public registers or the internet (websites, social media etc.). In certain cases, we may also obtain data from other Van Lanschot Kempen group companies, see the “How we work together in the Van Lanschot Kempen group” section below.

4. Data processed by us in relation to visits to our website

When you visit our website, our web server automatically records details about your visit to compile anonymised statistics, for example, website usage statistics (based on your IP address and related information, the website from which you visit us, the type of browser software used, the website pages that you actually visit including the date and the duration of your visit). In addition, we collect personal data which you provide through our website, for example when you enter data (e.g. name, address, e-mail address, phone number, and where applicable login data such as username and password) on a registration page, when you otherwise submit data to us in the course of an actual or potential contractual relationship with us, or when you contact us with an enquiry. We may also collect data from public sources, including searches via search engines, sector specific newsletters, public registers and social media.

We process this personal data in particular for the following purposes:

- to identify your requirements and promote services that may be of interest;
- to provide and improve our services to you;
- to enforce and/or defend any of our legal claims or rights;
- for other legitimate business purposes, such as IT security or the prevention of fraud

We also use third party services in relation to our website so that we can assess and improve the user-friendliness of the website and online advertising campaigns. For this purpose we may incorporate third party components into our website., which may in turn use cookies. If we track you or use similar technologies, our essential aim in doing so is to be able to differentiate between access by you and access by other users in order to ensure that the website works properly and to carry out statistical assessments. We do not aim to make any inferences concerning your identity. The technologies used are structured so that you can be identified as a specific user when you visit a page.

For information about our use of cookies, please refer to our **Cookie Statement** (as a separate button on the same webpage).

5. Data processed by us in relation to newsletters and other general communications

In order to send out our newsletters or other general communications, we process in particular your master data as well as data relating to your behaviour and preferences:

- If you fill in the contact form for one of our newsletters on one of our websites, in doing so you consent to the usage of your master data (e.g. your e-mail address) in order to send you electronic newsletters, notifications, updates or invitations to events as well as further information by e-mail.
- Any newsletter may contain advertising for our products and services, as well as those of our partners.
- If you are receiving electronic advertising from us but no longer wish to do so, you can unsubscribe at any time by clicking on the link contained in the respective e-mails or send an e-mail to dataprotection@vanlanschotkempen.ch.

We assess your behaviour as a user, following anonymisation, in relation to the newsletters and other general communications sent out by us. In particular, these contain features that enable us to obtain confirmation as to whether they have been received and read, as well as information concerning the links in our newsletters that you have clicked on. However, we do not associate this information with specific e-mails. You can avoid this assessment by installing the relevant software in your email programme (e.g. by blocking the automatic loading of image files)

6. How we work together in the Van Lanschot Kempen group

We are part of the Van Lanschot Kempen group, which is controlled by Van Lanschot Kemper N.V. We procure particular services within the group, for example accounting and IT services. Group companies also support one another in other respects and may exchange personal data for this purpose. For example, we may share personal data with group companies to comply with legal and regulatory requirements such as 'know your customer', risk and compliance activities, or in relation to the provision of IT infrastructure or databases, as well as for marketing purposes.

Group companies may also process data obtained from other group companies for their own purposes. We assume that, unless you inform us otherwise, this disclosure does not conflict with any of your privacy interests. In this regard, we often collaborate with group companies as joint controllers for data protection purposes. You are welcome to contact us to exercise your rights as a data subject, in which case we will liaise with the relevant group companies. You can also contact these group companies directly.

7. For how long we process data

We will store and process your personal data for as long as this is necessary for the purposes of processing (for contracts, generally for the duration of the contractual relationship), for as long as we have a legitimate interest in storing it (e.g. for the exercise of legal claims, for archival purposes or to ensure IT security), or for as long as the data are subject to a statutory retention requirement (e.g. a ten-year retention period applies to certain data). Unless any legal or contractual obligations require otherwise, we will erase or anonymize your data following the expiry of the relevant retention or processing period as part of our standard processes.

8. Legal basis

If the applicable data protection laws require a legal basis, we process data on the following legal bases:

- necessary in order to comply with our legal obligations under certain laws;
- necessary for entry into, or performance of, a contract with you;
- consent by you to the processing of data for a particular purpose;
- legitimate interest of us or a third party such as to help us to operate, improve and minimise any disruption to the services that we may offer, or to send information on the services that we believe will be of interest to the relevant individuals.

9. Sharing and transferring abroad of data

Managing our relationship with you may entail the transfer your personal data to, or access it from, locations outside Switzerland or your country of residence. We also rely on service providers in other countries around the world. Some of these countries may not have data protection laws equivalent to those in Switzerland. We ensure your data is adequately protected through legally recognized transfer mechanisms:

- By transferring data to countries that are deemed to provide an adequate level of protection by the relevant authorities (e.g., the Swiss Federal Council, the European Commission, or the UK Government).
- Where adequacy is not established, by using Standard Contractual Clauses (SCCs) approved by the relevant authorities, supplemented with additional security measures where necessary.

10. Security

We take adequate technical and organizational measures according to applicable data protection laws to protect your data against loss, alteration and against unauthorized collection, processing and disclosure. However, we are unable to prevent data privacy breaches with absolute certainty, as residual risks are unavoidable.

11. Your rights

Under applicable data protection law, you have certain rights in relation to your personal data:

- Right of access – you have the right to know if we are using your data and, if so, the right to access it and to information about how we are processing it.
- Right to rectification – you have the right to require us to rectify any errors in the data we hold about you.
- Right to erasure – you have the right to require us to delete your data if our continued use is not justified.
- Right to restrict processing – in some circumstances, although you may not be entitled to require us to erase your data, you may be entitled to limit the purposes for which we can use your data.
- Right of data portability – in some circumstances, you have the right to require us to provide you with a copy of particular data in a commonly used machine-readable format or to transfer this data directly to another controller (e.g. a third party offering services competing with ours).

These rights are subject to legal conditions, requirements, restrictions and/or exceptions and thus may not be available in full under all circumstances. In particular, we may be obliged to continue processing and storing your personal data for the purpose of the performance of a contract with you, upholding our legitimate interests, such as the establishment, exercise or defence of legal claims, or complying with legal obligations. If permitted by law, in particular for the purpose of protecting the rights and freedoms of other data subjects or upholding legitimate interests, we may therefore also reject a data subject request either entirely or in part (e.g. by redacting particular content concerning third parties or our own business secrets). If you would like to exercise any of your rights referred to above, if you would like to object to the processing by us of your personal data, or if you would like to unsubscribe from our newsletter, please send us an e-mail at dataprotection@vanlanschotkempen.ch or contact us at the address mentioned at the start ("Who we are and where you can reach us").

Under local applicable data protection regulations (including GDPR) you may also have the right to lodge a complaint with the relevant data protection supervisory authority.

12. Can this Privacy Statement be changed

This Privacy Statement is not part of any contract with you. We may amend this Privacy Statement at any time. The version published on our website is the applicable version.

PRIVATE BANKING

Private Banking
Mittelstrasse 10
8008 Zürich
Switzerland
T +41 43 377 11 11
vanlanschotkempen.ch/private-banking