

## Recruitment and Employment - Privacy Notice

### Introduction

This privacy notice describes how **Cardano Risk Management Limited** and **Cardano Advisory Limited** (“Cardano” / “we” / “us” / “our”) collect and process personal data about its employees and applicants (each a “data subject” or “you”), how we use and protect this data, and your rights in relation to this data. This privacy notice applies to all personal data we collect or process about you.

We are a “data controller”; this means that we are responsible for deciding how we hold and use personal information about you. We are required under data protection legislation to provide you with the information contained in this privacy notice.

This notice applies to job applicants, current and former employees, workers and contractors. This notice does not form part of any contract of employment or other contract to provide services. We may update this notice at any time.

It is important that you read this notice, together with any other privacy notice we may provide on specific occasions when we are collecting or processing personal information about you, so that you are aware of how and why we are using such information.

“Personal data” has the meaning given to it in Part 1 of the Data Protection Act 2018 (“DPA”) . This is any information relating to an identified or identifiable living individual, and includes identifiers such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.

All personal data we process will be treated in accordance with the DPA. This means that the personal information we hold about you must be:

1. used lawfully, fairly and in a transparent way;
2. collected only for valid purposes that we have clearly explained to you and not used in any way that is incompatible with those purposes;
3. relevant to the purposes we have told you about and limited only to those purposes;
4. accurate and kept up to date;
5. kept only as long as necessary for the purposes we have told you about; and
6. kept securely.

## The Personal Data we Process

### Personal data we collect from you

The personal data we collect from you is normally limited to the following:

- personal details (e.g. name and date of birth);
- contact details (e.g. phone number, email address, postal address, mobile number);
- educational details and employment experience (e.g. educational history, qualifications, certifications, skills);
- your hobbies and interests;
- employment information (e.g. bank account details, payroll information, tax information);
- citizenship or immigration information (including copies of your passport or other identification documents); and
- data obtained from telephone calls (which we may record).

### Personal data collected from other sources

We may collect personal data about you from other sources, including:

- recruitment agencies, employment consultants or employment screening agencies;
- publicly available professional profiles on websites or social media (e.g. LinkedIn);
- external service providers such as insurance companies or other companies that help administer our employee benefits;
- other employees, clients or service providers you work with who may provide feedback about you;
- other employers; and
- publicly available registers such as those maintained by professional bodies; background screening service providers etc.

The categories of personal data that we may collect from other sources are:

- personal details (e.g. name and date of birth);
- health information or claims information;
- criminal record information; and
- information about your experience, performance or conduct during the course of your employment.

### Other information we use about you

Throughout our employment relationship, we will also generate personal information about your role, promotions, salary, performance, your opinions and any complaints made by or against you. This information will be generated in the form of appraisals, feedback and communications with you and others.

### Special categories of personal data

We may process certain special categories of personal data (which are personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation).

We may also process personal data relating to criminal convictions and offences, which are not special categories of personal data but are subject to special rules under the DPA.

In line with our obligations as an employer, we will use your particularly sensitive personal information in the following ways:

- We will use information relating to leaves of absence, which may include sickness absence or family related leaves, to comply with employment and other laws.
- We will use information about your physical or mental health, or disability status, to ensure your health and safety in the workplace and to assess your fitness to work; to provide appropriate workplace adjustments; to monitor and manage sickness absence and to administer benefits.
- We will use information about your race or national or ethnic origin, religious, philosophical or moral beliefs, or your sexual life or sexual orientation, to ensure meaningful equal opportunity monitoring and reporting.
- We will use information about criminal convictions, police cautions, court appearances (including in respect of country court judgements), civil disputes, bankruptcy proceedings and individual voluntary arrangements etc. in deciding if a candidate or employee is appropriate for a role and to inform regulators.

### Purposes and Legal Basis for Processing

We process personal data in order to:

- assess the appropriateness of an individual for a role within Cardano and, when successful, to make an offer of employment and contract with the applicant;
- deliver our Human Resources strategy;
- deliver our employee benefits package;
- facilitate our annual appraisal and remuneration review process. The personal data processed for these purposes may include criminal record, ethnic origin and health information;
- manage all other aspects of the employment relationship; and

- comply with our regulatory and legal obligations.

We must have a legal basis to process your personal data. In most cases the legal basis will be one of the following:

- to fulfil our contractual obligations to you in connection with your employment contract with us;
- to comply with our legal obligations, for example obtaining proof of your identity to enable us to meet our anti-money laundering obligations; obtaining proof of your right to work status to enable us to meet relevant obligations; or sharing data with regulators and authorities where required by law;
- to comply with our legal obligations to you, for example health and safety obligations that we must comply with as your employer, or obligations to comply with tax regulations;
- to meet our legitimate interests, for example to manage our employees effectively and protect Cardano against theft or other crime. When we process personal data to meet our legitimate interests, we put in place robust safeguards to ensure that your privacy is protected and to ensure that our legitimate interests do not override your interests or fundamental rights and freedoms; or
- to protect your or another person's vital interests, for example by providing your health information to a doctor in a medical emergency.

When we process special categories of personal data, we will do so only where the DPA or local law permit us to do so (e.g. where the processing is necessary for the purposes of performing or exercising legal obligations or rights in connection with employment).

We will only use your personal information for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason and that reason is compatible with the original purpose. If we need to use your personal information for an unrelated purpose we will notify you and we will explain the legal basis which allows us to do so.

## Data Sharing

We may share your personal data with third parties under the following circumstances:

- Service providers and business partners: We may share your personal data with our service providers and business partners who perform business operations for us. For example, we may partner with other companies for payroll administration, to provide insurance or other benefits, host the HR database, analyse information or to improve performance.
- Group companies: We share personal data among our group companies. All group companies are required to comply with equivalent privacy notice obligations.
- Clients: We may share your personal data with clients or prospective clients in order to deliver contractual services them. The personal data shared for these purposes will not usually be sensitive and will usually be restricted to professional contact details and data of the type provided in a short CV.

- Any law enforcement agency, court, regulator (such as the Financial Conduct Authority), official registrar (such as Companies House) or other government authority: We may share your personal data with these parties where we believe this is necessary to comply with a legal or regulatory obligation, or otherwise to protect our rights or the rights of any third party. Where required by an individual's role, notification to or registration with one or more regulators may be necessary, requiring the sharing of personal data, including special categories of personal data. Any regulator may also maintain a public register that contains personal data about current and former employees of Cardano. We will take steps to ensure that information on public registers maintained by a regulator is up to date in respect of the information provided by Cardano only.
- Funds, banks, brokers, trading venues and other entities subject to money laundering regulations who provide services to Cardano or our clients and are required under local law to undertake due diligence on Cardano, including employees, senior management, owners or controllers.
- Future employers: We may provide employment references to third parties. In respect of certain former employees we are required by regulation to provide an employment reference for a period after the employee leaves Cardano.
- Asset purchasers: We may share your personal data with any third party that purchases, or to whom we transfer all, or substantially all, of our assets and business. Should such a sale or transfer occur we will use reasonable efforts to try to ensure that the entity to which we transfer your personal information uses it in a manner that is consistent with this privacy notice.

## Retention

If you are unsuccessful in applying for a job with us, we will retain your personal data for a period of up to 7 years from the date on which your application has not succeeded, or longer if required to comply with applicable laws.

If you are an employee, we will retain personal data about employees for the duration of employment. Once our relationship with you has come to an end, we will retain your personal data for a period of time that enables us to:

- provide you with any continuing benefits such as pension or insurance;
- maintain business records for analysis and/or audit purposes;
- comply with record retention requirements under the law;
- defend or bring any existing or potential legal claims; or
- deal with any queries or complaints you may have.

We will delete your personal data when it is no longer required for these purposes. If there is any information that we are unable, for technical reasons, to delete entirely from our systems, we will put in place appropriate measures to prevent any further processing or use of the data.

## International Data Transfers

In some circumstances, we may transfer employee data outside of the UK.

When we transfer personal data outside of the UK to a jurisdiction that is not considered to provide an adequate level of protection, appropriate measures based on contractual requirements will be taken to ensure the continual protection of the data.

## Your Rights

You have certain rights regarding your personal data, subject to local law. These include rights to:

- access your personal data;
- rectify the information we hold about you;
- erase your personal data;
- restrict our use of your personal data;
- object to our use of your personal data;
- receive your personal data in a usable electronic format and transmit it to a third party (right to data portability); and
- lodge a complaint with your local data protection authority.

We encourage you to contact us to update or correct your information if it changes or if the personal data we hold about you is inaccurate.

We will contact you if we need additional information from you in order to honour your requests.

If you would like to discuss or exercise such rights, please contact Human Resources at the details below.

## Contact Us

Cardano is the controller responsible for the personal data we collect and process.

If you have questions or concerns regarding the way in which your personal data has been used, please email your request to the Head of HR & People Development using [e.buckhorn@cardano.com](mailto:e.buckhorn@cardano.com).

(ii) Contributions are made by an employer or by way of deduction from an employee's wages;

(iii) The scheme rules do not permit the assignment of a member's interests under the scheme;

We are committed to working with you to obtain a fair resolution of any complaint or concern about privacy. If, however, you believe that we have not been able to assist with your complaint or concern, you have the right to make a complaint to the Information Commissioners Office (ICO). See <https://ico.org.uk/concerns/> for details.

### Changes to the Notice

You may download a copy of this privacy notice at [Cardano.com](https://cardano.com). We reserve the right to edit this privacy notice.

If we change this privacy notice, we will provide you with an updated privacy notice. Where changes to this privacy notice will have a fundamental impact on the nature of the processing or otherwise have a substantial impact on you, we will give you sufficient advance notice so that you have the opportunity to exercise your rights (e.g. to object to the processing).

**January 2021**