

1. SCOPE OF THE NOTICE

1.1. This document constitutes a Privacy Notice (**Notice**) of Roemer Capital (Europe) Limited, a company, registered and incorporated under the laws of the Republic of Cyprus with company number HE 333287 and registered address at: Limassol Business Centre, office 4, 4 floor, 17 Georgiou Karaiskaki str., 3032, Limassol, Cyprus (**Roemer Capital** or **we** and any derivatives thereof).

1.2. This Notice is directed at several categories of data subjects (see below), that are jointly referred to as Clients or Prospective Clients of Roemer Capital.

1.3. The purpose of this Notice is to explain to you which personal data we gather, which principles apply, which legal basis for processing we rely on, how your personal data is processed, transferred and how long it is retained for. We will also provide you with information on your rights with regards to your personal data.

1.4. Roemer Capital is a "data controller" in relation to your personal data. This means that we are responsible for deciding how we hold and use personal information about you. We may engage other companies ("data processors") to process your personal data on the basis of our instructions.

1.5. If you have any questions regarding this Notice or other data protection or privacy matters, please send an enquiry to dpo@roemercapital.com.

2. DEFINITIONS

2.1. Any capitalised terms used herein shall have the meaning ascribed to them in this clause 2.

2.2. **Client:** a person, whether an individual or a legal entity, which has entered into an agreement with Roemer Capital whereby Roemer Capital has agreed to provide certain investment and ancillary services to that person. For the purpose of this Notice, the term Client shall also include Prospective Client.

- **Data Controller:** a person which determines the purposes and means of the processing of personal data; for the purpose of this Privacy Notice data controller is Roemer Capital.
- **Data Processor:** a person which processes personal data on behalf of the Data Controller.
- **Data Subject:** see clause 3.
- **Personal Data:** means any information relating to Data Subject which may make them identifiable.
- **Process or processing:** any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction.
- **Prospective Client:** a person, whether an individual or a legal entity, which intends to become a Client of the Company.

3. DATA SUBJECTS

3.1. This Notice is directed at Clients of Roemer Capital and other persons, divided into the

following categories:

- If the Client is an individual:
 - The Clients themselves (1);
 - Representatives of the Clients (2);
 - Successors and surviving spouses of the Client in case of death or declaration of death *in absentia* (3).
- If the Client is a legal entity:
 - Directors and other members of the board / other executive body of the entity, who may, acting jointly or severally, bind the Client by their actions (4);
 - Shareholders, beneficiaries or other controlling persons, and if legal entities, their directors / other members of their board / other executive bodies (5);
 - Authorised persons acting on the basis of power of attorney or other document of similar legal nature (6);
 - Successors and surviving spouses of the shareholders or beneficiaries in case of death or declaration of death *in absentia* (7).
- If the Client is an entity without separate legal personality:
 - Same categories of data subjects, as if the Client had a separate legal personality for the following categories of entities: settlors, founders, trustees, beneficiaries, protectors, managing companies etc. (8), (9), (10), (11) respectfully;
- Other data subjects:
 - Certifying officers, notaries public or other officers authorised to certify true copy or signatures of the Clients (12);
 - Administrators, liquidators or other officers authorised to engage in the process of liquidation of an entity and distribution of assets as well as manage probate cases and distribute assets among successors of the Client (13).

4. PERSONAL DATA COLLECTED

Category of Data Subject	Category of Personal Data
All Data Subjects listed in clause 3	Last name, first name, other names (if applicable)
(1)-(11), (13)	Passport and / or national ID details: nationality, series, number, issuing authority, date of issue and expiration, scanned copies of the document with a photo and sample of signature
(1)-(11), (13)	Address details: full address with country and postcode (postal address and address of registration)
(1)-(11)	Other personal details: gender, salutation, date of birth, place of birth, tax number (if applicable), information about second nationality or residence abroad (see 'passport and / or national ID details'), information on previously held citizenships
(1)-(11), (13)	Contact details: telephone number, primary e-mail address
(1), (3), (7), (11)	Banking details: account number, currency of account, bank, SWIFT/BIC, correspondent account, correspondent bank, SWIFT/BIC of the correspondent bank

(5), (9)	Financial information: size of wealth, source of wealth, % of ownership / control in the entity
(1)	Financial information: portfolio size, amount of transactions carried out during 4 previous quarters, assets owned, source of income / wealth
(1), (2), (4), (6), (8), (10)	Education: information about academic educational background, degrees, diplomas, certificates, majors and minors, dates
(1), (2), (4)-(6), (8)-(10)	Information on being included in any sanctions, terrorist or similar lists*
(1), (2), (4)-(6), (8)-(10)	Information on criminal records (liability for fraud, misfeasance, wrongful trading or other similar misconduct; carrying out unauthorized regulated activities)*
(1)-(10)	Family relations: relation to politically exposed persons (their name, public function, period of function and type of relationship between the PEP and the Client); if successors, relation to the Client
(1), (2), (4)-(6), (8)-(10)	Employment information: status of employment, job title / occupation, information on experience in the financial sector, years of experience, name of employer, industry, countries of operation, address of the employment Information about disqualifications, disciplinary actions, professional licenses, memberships with professional organisations (and termination thereof)
(1)	Agreement number and date of agreement, other internal identification assigned by the Data Controller
(1)	Information about trade orders and non-trade instructions submitted, accepted, rejected, cancelled, executed, date thereof, amount of cash/assets, other information thereon, trading history, records of transactions, balances and brokerage/PM reports
(1)	Investment profile: selected products and services, strategy, investment objectives and horizon, risk appetite and tolerance, results of appropriateness and suitability tests
(1), (2), (4), (6), (8), (10)	Technology information: trading platforms UID, logins for the Client's portal and trading platforms, IP address, OS, browser information
(1)	Other: information on mental health and overall legal capability*, communication preferences, submitted complaints and claims,
(1), (2), (4), (6), (8), (10)	Other: correspondence, phone calls recording, CCTV recordings (if visiting our offices)

* means special categories of personal data (sensitive data). Processing of sensitive data is described below.

5. LEGAL BASIS FOR PROCESSING OF PERSONAL DATA

5.1. We will rely on four legal grounds to collect, store, transfer or otherwise process your

personal data:

- processing is necessary for the performance of a client agreement or to take necessary steps prior to entering into a contract (1);
- processing is necessary for compliance with our legal obligation (2);
- processing is necessary for the purposes of the legitimate interests pursued by Roemer Capital (3);
- your consent to the processing of your personal data for one or more specific purposes (4).

5.2. Here are the examples of purposes of data processing and how they match the legal grounds:

Legal basis	Purposes of processing of data
(1)	Confirming capacity to enter into contractual obligations Reporting Providing our services or products, including trading in securities and other investment services Client relationship management, account management
(2)	KYC and due diligence subject to applicable AML directives, regulations, and laws Risk management subject to CRR/CRV IV, IFR/IFD and Cyprus laws Sanctions and AML/CFT compliance subject to applicable AML/CFT directives, regulations, and laws as well as UNSC resolutions Reporting subject to MiFIR, EMIR, SFTR, other regulations or CySEC/CBC circulars, FATCA/CRS obligations Audit Performing other legal obligations
(3)	Pursuing our legitimate interests, namely: <ul style="list-style-type: none"> ▪ Complying with requirements of our counterparties (i.e. banks, prime-brokers, custodians, clearinghouses, exchanges, vendors etc.) ▪ Pursuing claims against the Client ▪ Taking, holding, protecting, perfecting, preserving or enforcing (or attempting to do so) any rights, powers, authorities or discretions vested in us or a third party under a contract or by law ▪ Analysis and statistics ▪ Security of offices, prevention of vandalism or criminal activity
(4)	Communicating information about products and services that may be of interest to the Client

5.3. When you have given your consent and intend to revoke it, you shall contact our Data Protection Officer (see below). Please be advised, that we rely on consent in rare instances, such as for the purpose of marketing communications or international transfers of your personal data in lieu of appropriate safeguards (see below). We do not require your consent if we use your Personal Data to carry out our legal obligations or exercise specific rights vested in us by law.

5.4. We will ask your explicit consent to receive marketing communications, promotions and information about products and services which might be of interest to you (opt in). If you want to stop receiving such communications (opt out), please contact our Data Protection Officer (see below).

6. FAILING TO PROVIDE PERSONAL DATA

6.1. If any Data Subject fails to provide personal data, except for personal data which is processed on the basis of consent only, we may refuse to enter into agreement with the Client or perform our obligations towards it, and may also suspend or terminate provision of the services as well as terminate the clients agreement without prejudice to other rights conferred on us by contract or applicable law.

7. COLLECTING OF PERSONAL DATA

7.1. We collect Personal Data of our Clients using the following means:

- Directly from the Client or their representatives or associated persons. The Prospective Client will provide most of the required information via Client Application or Authorised Persons Forms. Some of the Personal Data may be provided afterwards during the course of provision of the services or communication between us and the Client;
- we reserve the right to collect information about our Clients from the public domain (i.e. Internet);
- We may also collect your personal data from our counterparties (i.e. administrator of the hosting of our website, providers of outsourced activities etc.).

8. PRINCIPLES OF DATA PROCESSING

8.1. The following principles shall apply to our processing of your personal data:

- Your personal data will be used lawfully, fairly and in a transparent way.
- Your personal data will be collected only for specified, explicit, legitimate, and limited purposes that we have clearly explained to you and not used in any way that is incompatible with those purposes.
- Your personal data shall be adequate, relevant and limited to what is necessary in relation to those purposes.
- Your personal data will be accurate and kept up to date; inaccurate personal data will be erased or immediately rectified.
- Your personal data will be kept only as long as necessary for the purposes we have told you about.
- Your personal data will be processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

9. SENSITIVE PERSONAL DATA

9.1. We envisage that we will process information about criminal convictions subject to our legal obligation as an AML/CFT obliged entity. We ask this for the purpose of preventing a crime or other potential wrongdoing.

9.2. We may also process personal data related to your mental capacity to execute and perform the contract, to authenticate and confirm capacity to contract.

9.3. We have in place an appropriate policy document and safeguards which we are required by law to maintain when processing such data.

10. AUTOMATED DECISION-MAKING

10.1. You will not be subject to decisions that will have a significant impact on you based solely on automated decision-making.

11. IMPLEMENTED TECHNICAL AND ORGANISATIONAL SAFEGUARDS, INFORMATION SECURITY

11.1. We have put in place appropriate security measures to prevent your personal information from being accidentally lost, used or accessed in an unauthorised way, altered or disclosed.

11.2. Technical measures include:

- Pseudoanonymisation
- Encryption and hashing
- User authentication
- Least privileges rule for user access rights
- Multifactor authentication for users
- Vulnerability detection and remediation process
- Network segmentation with access control list implementation
- Centralized event logs analyzing and data breach incident detection

11.3. Organisational measures include:

- Role-based access control (RBAC)
- Access management process with data owner and infosecurity approvals and “toxic” rights detection
- Access monitoring and periodical access review on network, operating system, and business application levels
- Access review for leaving or changing position personnel
- Employee training
- Implementation of a robust data protection system
- Written policies and procedures
- Requesting external advice when necessary

11.4. In addition, we limit access to your personal information to those employees, agents, contractors and other third parties who have a business need-to-know. They will only process your personal information on our instructions and they are subject to a duty of confidentiality. Details of these measures may be obtained from our Data Protection Officer.

11.5. We have put in place procedures to deal with any suspected data security breach and will notify you and any applicable regulator of a suspected breach where we are legally required to do so.

12. RECIPIENTS OF YOUR PERSONAL DATA

12.1. We will share your personal information with the following categories of recipients:

- Other entities our group
- Auditors
- External legal advisors and other professional consultants
- Vendors of software solutions (i.e. cloud storages, administrators of website hosting etc.)
- Banks, prime-brokers, clearinghouses, custodians and other providers of financial

infrastructure

- Providers of outsourced services (i.e. client management, call-center)
- Trading venues
- Repositories and services facilitating performance of our reporting obligations
- State, governmental, municipal and other authorities, self-regulatory organisations, courts, tribunals and arbitration courts, and other bodies of similar legal nature
- Certifying officers, notary public, administrators, attorneys, or other executors
- Liquidator, conservator, custodian, trustee or a temporary administrator, external administrator, receiver or similar or analogous officer or body appointed in any bankruptcy, prevention measures, insolvency, bankruptcy, dissolution, liquidation or winding-up (or any analogous or similar proceedings)

12.2. All our third-party service providers and other entities in the group are required to take appropriate security measures to protect your personal information in line with our policies. We do not allow our third-party service providers to use your personal data for their own purposes. We only permit them to process your personal data for specified purposes and in accordance with our instructions.

12.3. In addition to measures described in clause 11, we implement the following measures to secure the transfer:

- Strong encryption for site-to-site and client-to-site VPN channels
- TLS-protocol implementation for web services

13. INTERNATIONAL DATA TRANSFERS

13.1. During our ordinary course of business we may share your Personal Data with entities located outside the European Union.

13.2. You hereby acknowledge that some of the countries where your Personal Data may be transferred do not provide the same level of personal data protection (legislation- or enforcement-wise). Where this is the case, we shall rely on Standard Contractual Clauses (SCC) adopted by decisions of the European Commission as amended from time to time.

13.3. Regardless of adequacy decision or lack thereof, any transfer will be subject to personal data protection clauses incorporated in an agreement with a third party or a separate data transfer / data processing agreement (addendum).

13.4. Subject to article 49 of GDPR, we may from time to time execute transfers outside the European Union where there is no adequacy decision or SCC signed. Such transfer might happen incidentally and only if we meet at least one of the following conditions:

- We have your explicit consent.
- The transfer is necessary for the performance of the client agreement.
- The transfer is necessary for the conclusion or performance of a contract concluded in your interest between Roemer Capital and another natural or legal person.
- The transfer is necessary for the establishment, exercise or defence of legal claims.

14. DATA RETENTION

14.1. We retain the personal data processed for as long as is considered necessary for the purpose for which it is processed (including as required by applicable law or regulation).

14.2. In connection with the provision of investment services we are legally obliged to keep your

records for a period of five (5) years since the termination of the contract, which may be extended up to ten (10) years.

15. RIGHTS OF THE DATA SUBJECTS

15.1. Under certain circumstances, by law you have the right to:

- Request access to your personal information (commonly known as a subject access request or SAR). This enables you to receive a copy of the personal information we hold about you and to check that we are lawfully processing it.
- Request correction (rectification) of the personal information that we hold about you. This enables you to have any incomplete or inaccurate information we hold about you corrected.
- Request erasure of your personal information. This enables you to ask us to delete or remove personal information where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal information where you have exercised your right to object to processing (see below).
- Object to processing of your personal information where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this ground. You also have the right to object where we are processing your personal information for direct marketing purposes.
- Request the restriction of processing of your personal information. This enables you to ask us to suspend the processing of personal information about you, for example if you want us to establish its accuracy or the reason for processing it.
- Request the transfer of your personal information to another party.
- If you want to review, verify, correct or request erasure of your personal information, object to the processing of your personal data, or request that we transfer a copy of your personal information to another party, please contact our Data Protection Officer (see below).
- Right to withdraw consent previously given to us for one or more specific purposes.

16. DATA PROTECTION OFFICER

16.1. We have appointed a data protection officer to oversee compliance with this Privacy Notice. If you have any questions about this privacy notice or how we handle your personal information, please contact dpo@roemercapital.com

16.2. Your requests and grievances will be considered free of charge. We will take appropriate efforts to resolve your issues within one (1) month, unless the law established lesser deadlines, in which case we will inform you of such in writing.

16.3. Should your grievance be not resolved, you may lodge a complaint with our leading supervisory authority: Commissioner for Personal Data Protection (www.dataprotection.gov.cy)