

Privacy Notice of LGT Capital Partners to investors in discretionary mandates

General Information

LGT Capital Partners cares about the protection of personal data. This Privacy Notice ("Notice") explains how and for what purposes we use personal data in the context of discretionary mandates. Certain contents of the Notice, including data subject rights, may apply only where our processing of personal data falls within the scope of the EU General Data Protection Regulation ("GDPR") and other applicable data privacy laws.

For the purposes of the Notice, "Data" shall mean personal data, i.e. any information relating to an identifiable natural person. The terms "you" and "your" shall refer to you as a natural person, e.g. as a beneficial owner or controlling person of a discretionary mandate or, as the case may be, as a director, representative, signatory or other affiliate of a legal entity, partnership or trust acting as investor in such investment. "LGT Capital Partners", "we", "us" or "our" shall mean any subsidiary of LGT Group Holding Ltd. that is active in the business of asset management (hereinafter collectively referred to as "LGT CP Companies", individually "LGT CP Company"). LGT Group Holding Ltd. is a stock company incorporated under the laws of the Principality of Liechtenstein with registered address at Herrengasse 12, 9400 Vaduz, Liechtenstein.

Important note

In the course of our dealings with you, we may process Data of persons related to you or to the company or other organization you may represent. Such persons may include, but are not limited to, directors, representatives, beneficial owners and controlling persons, employees, shareholders or other participants, business associates, service providers such as consultants, financiers, legal advisors or any other affiliates of you and/or the company or other organization you may represent ("Affiliates"). As we cannot possibly bring the Notice to the attention of all Affiliates, we kindly ask you to do so on our behalf.

Getting in touch

With regard to our use of your Data, you may contact our Data Protection Officer at:

LGT Group Holding Ltd.
Data Protection Officer
Herrengasse 12
9490 Vaduz, Liechtenstein
Telephone: +423 235 11 22
E-Mail: lgt.datenschutz@lgt.com

If you are unsure as to which LGT CP Company controls your Data, please do not hesitate to contact us. If such LGT CP Company has its registered office outside of the European Economic Area ("EEA"), the company acting as representative in the EEA is LGT Group Holding Ltd.

The Data we collect and process

In connection with your dealings with LGT Capital Partners in relation with an investment, we may collect and process your Data. Depending on the circumstances, such Data may include your name, residential and email addresses, telephone numbers, place and date of birth, gender, nationalities, certain tax and financial information, signature specimen, passport copies, any other information we may take note of in the course of our relationship and any correspondence with you in connection with the aforementioned items.

Purposes and legal basis for our use of your Data

We may process your Data for the purpose of entering into or performing our contract with you or the entity you are affiliated with, in particular for communications with you regarding your investments. We may also process your Data for the purpose of complying with legal and regulatory obligations we are subject to, in particular in connection with Know-Your-Customer and Anti-Money Laundering rules. In this context, we may also conduct screenings of watchlists and assess whether you are a politically exposed person. Such processing activities will occur during the onboarding of you as a client, i.e. prior to the conclusion of our contract, and can take place at any time during your investment. Since our success depends on our ability to provide the best possible service and solutions to our clients, we need to have a thorough understanding of the investment

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strategy, specific needs and background of our clients. We may therefore process your Data to achieve this aim. This not only serves our legitimate interest in successfully running our business but also helps you in reaching your investment objectives. Where applicable law requires us to obtain your separate consent for processing certain Data, we will contact you.

Data transfers to other recipients

In the course of your dealings with us, we may transfer your Data to categories of recipients such as regulatory and tax authorities, banks and other business partners that are typically involved in discretionary mandates. We may further share your Data with any other subsidiary of LGT Group Holding Ltd., in particular with other LGT CP Companies. We may also share Data with authorities, courts etc. if required under applicable law or as necessary to enforce or defend legal claims. These recipients may be located outside the territory you live in. In addition, LGT Capital Partners has operations throughout the world. Therefore, the recipients of your Data may be located outside of the EEA, and potentially worldwide. Not all countries provide an adequate level data protection. Where a recipient is located in a country without adequate protection, we put safeguards in place, usually the European Commission's Standard Contractual Clauses, which are available at <https://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:32021D0914>. In some cases, we may transfer data without such safeguards, for example if you have provided consent to the disclosure, or if it is necessary in relation with a contract or to defend, exercise or enforce legal claims.

Your rights

Under applicable data protection law, you have the following rights regarding our use of your Data:

- the right to access your Data and to be informed of, inter alia, the purpose of our use of your Data, the categories of Data concerned and the recipients to whom we disclose your Data;
- the right to obtain from us without undue delay the rectification of inaccurate Data concerning you;
- under certain circumstances, the right to obtain from us without undue delay the erasure of your Data. By way of example, you may request erasure if your Data are no longer necessary in relation to the purposes for which they were collected;
- under certain circumstances, in particular if you contest the accuracy of the Data we use, the right to obtain from us restriction of our processing of your Data;
- where we rely on our legitimate interests to use your Data and provided that you can claim overriding interests, the right to object at any time to our use of your Data;
- where your consent for our use of your Data is required, the right to withdraw your consent at any time with effect for the future;
- the right to data portability where processing is carried out by automated means and based on either the performance of a contract or, where applicable, your consent;
- the right to lodge a complaint with our lead supervisory authority in Liechtenstein:

Datenschutzstelle Liechtenstein
Städtle 38
PO box 9490
Vaduz Liechtenstein
Telephone: +423 236 60 90
E-Mail: info.dss@llv.li

You may also lodge a complaint with your local supervisory authority within your country.

For how long we store your Data

LGT Capital Partners strives to build long-term relationships with its clients. We therefore may retain your Data for a period of up to ten years or, as the case may be, for as long as our relationship lasts. As the exact duration of the retention period depends on various elements including applicable laws and regulations, longer retention periods may be applicable. Furthermore, possible legitimate interests of LGT Capital Partners may allow us to use your Data for a period exceeding the abovementioned term, particularly where our continued use of your Data is necessary for the establishment, exercise or defense of legal claims. In any case, you may at all times object to our use of your Data and we shall review such request without undue delay (see above "Getting in touch").

Failure to provide your Data

The GDPR requires us to inform you of the consequences if you fail to provide your Data. You are not under an obligation to us to share Data with us. However, if you choose not to provide us with Data which is required in order to prepare and maintain our business relationship with you, such relationship cannot be established and maintained.

California Resident Notice of Collection of Personal Information Effective January 1, 2023

The purpose of this Notice of Collection of Personal Information (“Notice”) is to inform our California resident external investment managers and portfolio companies about LGT Capital Partners (“LGT’s”) collection of their personal information and sensitive information (as applicable), and the specific categories of information collected, as well as the purpose for which these categories of information will be used.

Personal information we collect: We collect a range of personal information about clients for our legitimate business purposes and in accordance with applicable data protection laws.

Collected information may include:

Category of Information Collected	Examples
Personal Identifiers	Name, address, email, phone number, passport copies
Personal Information	Name, address, email, phone number, passport copies
Protected classification characteristics under California or federal law.	Nationality, place and date of birth, gender
Professional or Employment Information	Certain tax and financial information, signature specimen

Sensitive Personal Data

Subject to the relevant jurisdictional requirements, LGT may process sensitive personal information. LGT will only use and disclose sensitive personal data for a purpose for which it was originally collected. Unless we request it, we ask that you not send us, or disclose, any sensitive personal data.

The sensitive data that LGT processes may include:

- Information related to racial, ethnic origin, political opinions, religious or philosophical beliefs, or union membership.
- A social security, driver’s license, state identification card, or passport number.
- An account log-in, financial account, debit card, or credit card number in combination with any required security or access code, password, or credentials allowing access to an account.
- The contents of an individual’s mail, email, and text messages unless the business is the intended recipient of the communication.

Purposes for Collecting Personal Information

We collect personal information for the business or commercial purposes and from the sources set forth in “Purposes and legal basis for our use of your Data”, respectively, in the Privacy Notice above.

LGT does not sell your personal data or share your personal data for the purpose of cross context behavioral advertising, as defined by the California Privacy Rights Act (CPRA) of 2020.

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Retention

We retain the categories of personal information set forth above in the “Personal information we collect” section of this Supplemental California Consumer Privacy Act Notice of Collection only as long as is reasonably necessary for those business or commercial purposes set forth in “Purposes and legal basis for our use of your Data” in the Privacy Notice above, except as may be required under applicable law, court order or government regulations.

Sources of Information

We obtain personal information directly from you, when you apply for, access and use our and our business associates’ financial products and services - whether in person, by telephone or electronically. We may verify this personal information or collect additional personal information from third parties, including consumer reporting agencies or other public sources.

We may also obtain some of your information indirectly, from a variety of sources, such as your joint account holder(s), and / or our service providers, such as vendors providing anti-money laundering and sanctions checking databases.

Disclosure of Personal Information

Within the last twelve (12) months, we have disclosed each of the following categories of personal information collected with third-party service providers as set forth in “Data transfers to other recipients” in this Privacy Notice, and we collect personal information from the sources set forth in “The Data we collect and process” in this Privacy Notice.

Personal Information Category	Category of Third-Party Recipients
Personal Identifiers	Regulatory and tax authorities, banks and other business partners, subsidiaries of LGT Group Holding Ltd., authorities, courts
Personal Information	Regulatory and tax authorities, banks and other business partners, subsidiaries of LGT Group Holding Ltd., authorities, courts
Professional or Employment Information	Regulatory and tax authorities, banks and other business partners, subsidiaries of LGT Group Holding Ltd., authorities, courts

Your Rights: You have certain rights under the CCPA/CPRA in respect of the personal information we hold and which you may exercise. These rights are:

Deletion Rights: You have the right to request that we delete any of your personal information that we retain, subject to certain exceptions, including, but not limited to, our compliance with U.S., state, local and non-U.S. laws, rules and regulations.

Disclosure and Access Rights: You have the right to request that we disclose to you certain information regarding our collection, use, disclosure and sale of personal information specific to you over the last twelve (12) months. Such information includes:

- The categories of personal information we collected about you;
- The categories of sources from which the personal information is collected;
- Our business or commercial purpose for collecting such personal information;
- Categories of third parties or persons with whom we share the personal information;
- The specific pieces of personal information we have collected about you; and
- Whether we disclosed your personal information to a third party, and if so, the categories of personal information that each recipient obtained.

Additional Rights: Under CCPA/CPRA, you also have the right to:

- Request the correction of any inaccurate personal information maintained by us about you.

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- Request that we limit the use and disclosure of your sensitive personal information. Currently, however, we do not use or disclose your sensitive personal information other than for the purpose(s) for which it was collected.
- Choose to opt-out of the sale of personal information or the sharing of personal information for cross-context behavioral advertising. Currently, however, we do not sell or share personal information as defined under the CCPA/CPRA.

Your rights will in each case be subject to the restrictions set out in the CCPA/CPRA. Further information on these rights, and the circumstances in which they may arise in connection with our processing of your personal data, can be obtained by contacting us.

Non-Discrimination for Exercising Your Rights: We follow the requirements of California Civil Code §1798.125 and will not discriminate against any consumer who exercises the rights set forth in this privacy notice.

Exercising Your Rights

To exercise any of your rights under the CCPA, please contact us at ccpainfo@lgtcp.com or call us toll-free at 1-833-849-7743.

Verifying Your Identity: If you choose to contact us with a request, you will need to provide us with identifying information that matches the PII we currently have about you.

Authorized Agent: You have the right to appoint an authorized agent to exercise your rights on your behalf. If you would like to do so, please contact LGT at ccpainfo@lgtcp.com.

Accessibility Information: For employees with disabilities who need to access this policy in an alternative format, please contact LGT at ccpainfo@lgtcp.com.

This Notice was last updated in March 2024.