

# Privacy Notice

## of LGT Capital Partners to existing and potential clients

### General Information

LGT Capital Partners cares about the protection of your personal data. This Privacy Notice (“**Notice**”) explains how and for what purposes LGT Capital Partners uses your personal data. Certain contents of the Notice, including data subject rights, may apply only where our processing of your personal data falls within the scope of specific data protection laws (in particular GDPR).

For the purposes of the Notice, “**Data**” shall mean personal data, i.e. any information relating to an identified or identifiable natural person. The terms “**you**” and “**your**” shall refer to you as a natural person, e.g. as representative, employee or other affiliate of a client or potential client of LGT Capital Partners, and/or to the legal entity or partnership you may represent. “**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, it might be necessary for us to process Data of other persons related to you or to the company or other organization you represent. Such persons may include, but are not limited to, directors, current and former, shareholders or partners, 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](mailto: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 our representative in the EEA is LGT Group Holding Ltd.

## The Data we collect and process

In connection with your dealings with LGT Capital Partners, we may collect and process Data such as your name, your employer or, if not identical, the company or other organization you represent, your e-mail address, telephone number, job title, information on our discussions regarding previous, current and potential investments, names and contact details of persons related to you such as employees, directors, representatives or other affiliates of the company or other organization you represent.

## The purposes we use your Data for

We may process your Data for the purpose of sending you reports, brochures, newsletters and other publications concerning possible investments with LGT Capital Partners and/or general industry related subjects. In order to organize the Data we hold in an efficient manner, we will store and process your data in our customer relationship software and, where necessary, in other databases. We may also use your Data for the purpose of inviting you to business related events or webinars. Furthermore, we may use your Data for the purpose of identifying the investment needs of the organization you represent and in order to prepare and perform business transactions with your organization. For the stated purposes, we may also contact you by other means such as telephone calls. You may rest assured that we will only provide you with information that we deem to be in accordance with your specific needs and investment strategy. In particular, we do not send bulk e-mails. If you do not wish to receive further information from us, please let us know (see above “Getting in touch”).

## Legal basis for our use of your Data

When processing your Data, we do so based on our legitimate interest in running our business. Since we will only process your Data in order to identify your specific needs and our mutual interests and, if you wish, conclude business transactions, we deem our interests to be in line with yours. If you disagree, you can contact us at any time and we shall thereupon cease to use your Data. Should we enter into a transaction with you, it will also be necessary to process your Data for the purpose of carrying out such engagement and to comply with the regulatory and legal obligations we are subject to. In such cases, you will receive a separate notice concerning you as an investor. Where we are required under applicable data protection laws to obtain your explicit consent for processing certain Data, we will contact you. Unless you explicitly object, we will continue to store your Data after direct business relationships between your organization and LGT Capital Partners have ended. We do this in the mutual interest of maintaining contact with you in view of possible future investments and other collaboration.

In the course of your dealings with LGT Capital Partners, we may transfer your Data to categories of recipients such as fund administrators or custodians. If required in a specific context, we may also transfer your Data to categories of recipients such as attorneys, auditors, prime brokers, consultants, providers of various services such as document storage, recordkeeping and background checks. We may further share your Data with any other subsidiary of LGT Group Holding Ltd., in particular with other LGT CP Companies. LGT Capital Partners has operations throughout the world. Therefore, such recipients may be located outside of the EEA (in particular Switzerland, United States of America, Hong Kong, Japan, Australia, People s Republic of China and United Arab Emirates). In such cases, we will ensure that adequate safeguards with regard to data protection such as model contract clauses approved by the European Commission are in place.

## Your rights

Please note that you are under no general obligation to provide your Data to us, except where applicable law requires you to do so. However, processing your Data will be necessary for the performance of the existing or possible future business relationship between your organization and us. 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 have your Data deleted;
- 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 pursuant to applicable data protection laws, the right to withdraw your consent at any time;
- 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;
- where GDPR is applicable, you have the right to file 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](mailto:info.dss@llv.li)

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

## For how long we store your Data

LGT Capital Partners strives to build long-term relationships with its clients. We will store your Data during our business relationship with your organization. However, we may retain your Data even after such relationship has ended if we can reasonably expect your organization to continue doing business with LGT Capital Partners in the future. Should you leave your organization at an earlier stage, we shall delete your Data as soon as we learn of your departure. Longer retention periods may be applicable if required by applicable laws and regulations. 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 processing of your Data and we shall review such request without undue delay (see above “Getting in touch”).