

Privacy Notice

The Cayman Islands Stock Exchange Ltd.

Purpose and Scope

This notice explains how your personal data will be handled by The Cayman Islands Stock Exchange Ltd. ("CSX", "we" or "us") and sets out how and why your personal data will be processed by the CSX and/or on its behalf by a third party service provider.

For the purpose of this notice, the controller of your personal data is the CSX.

Application of Privacy Statement

This notice applies to the way we process your personal data. Your personal data will be processed by the CSX when you or an entity with which you are connected engage with us and/or utilise our services.

We will collect personal data:

- **from you:** for example when you utilise our products and services, when you supply us with services, and when you correspond with us; and
- **from third party sources:** when companies with which you are connected apply for listing or request an International Securities Identification Number ("ISIN") or from any publicly available resource (e.g. the Cayman Islands Monetary Authority, the General Registry, or print and online media).

The Personal Data We Process

The personal data we may process may include some or all of the following depending on the nature of the processing activity:

Contact and Company Information

This may include general personal data about who you are such as your name, your contact details and your job title and position in a company.

Anti-Money Laundering Information

This may include your position as a director, officer or beneficial owner of a company, copy documentation confirming your identity (such as your passport or driver's license) and copy documentation for proof of address (such as a utility bill).

Publicly Available Information

This may include information available: (i) on the websites or promotional material of companies or organisations with which you are connected; (ii) in news articles; or (iii) from registries such as the Cayman Islands Monetary Authority or the General Registry.

Other Information

We may also process any personal data that you or the company with which you are connected provide to us voluntarily.

How and Why We Process Your Personal Data

The following table details the legal bases ("**Legal Basis**") according to which and the reasons why ("**Purposes**") we collect, obtain and process your personal data.

Legal Basis	Purpose
<p data-bbox="212 548 321 575">Contract</p> <p data-bbox="212 611 740 751">It is necessary to process your personal data in order to enter into and perform our contracts with you or your organisation for the provision of our services.</p> <p data-bbox="212 842 751 982">If you wish not to provide us with your personal data for these purposes, we will not be able to enter into or perform our contract(s) with you or your organisation.</p>	<p data-bbox="805 611 1182 638">We process your personal data:</p> <ul data-bbox="854 730 1398 1577" style="list-style-type: none"><li data-bbox="854 730 1398 835">• to process any application from an entity with which you are connected to become a Listing Agent of CSX;<li data-bbox="854 867 1398 1008">• to process applications from an entity with which you are connected to list financial instruments (including debt, funds and equities) on CSX;<li data-bbox="854 1039 1398 1108">• to process your application to become a Broker Member;<li data-bbox="854 1140 1398 1245">• to process the purchase by you or an entity with which you are connected of information products;<li data-bbox="854 1276 1398 1417">• to process applications for financial products including Legal Entity Identifiers (LEI), ISIN and Net Asset Valuations (NAVs);<li data-bbox="854 1449 1398 1518">• to review and publish announcements; and<li data-bbox="854 1549 1398 1577">• for invoicing and billing purposes.

Legal Obligation and Exercise of Public Functions

We process your personal data where it is necessary to comply with legal obligations to which we are subject.

Legitimate Interests

We process certain of your personal data on the basis of our legitimate interests, such as in pursuit of our business or security interests.

Where we process your personal data in pursuit of our legitimate interests we determine if such processing is necessary and we carefully consider the impact of our processing activities on your fundamental rights and freedoms or legitimate interests. We will not process your personal data where our legitimate interests are outweighed by the impact on your rights and freedoms or legitimate interests (unless otherwise required or permitted by law).

You have the right to object to us processing your personal data on the basis of our legitimate interests or by reason of prejudice to your rights and freedoms or legitimate interests. For more on this and other rights please see the section on your rights and how to exercise them.

Where necessary and/or applicable, we process your personal data in order to comply with our legal and regulatory obligations and the exercise of any public function conferred on the CSX, including under anti-money laundering and terrorist financing legislation, and other applicable law.

We process your personal data in order to:

- provide you with information about our products and services;
- respond to your enquiries;
- conduct market research surveys;
- maintain a list of our business contacts; and
- circulate reports, statements and other material which you sign up to receive.

Disclosure of Personal Data

We may also disclose your personal information to other third parties including:

- the Cayman Islands Monetary Authority and other regulatory authorities and law enforcement agencies where required by law;
- our confidential IT service providers who are required to respect the security of your data and to treat it in accordance with the law;
- other people within your entity or organization;
- professional advisors such as legal advisors, consultants and auditors; and
- any prospective buyers of the CSX or the business of the CSX.

Retention of Your Personal Data

Generally, we shall retain your personal data for a period of seven years after the later of: (i) the conclusion of your relationship with the CSX; or (ii) the conclusion of the relationship between the CSX and the entity with which you are connected.

Your Rights and How to Exercise Them

The table below sets out the rights that you have to address any concerns or queries with us about our processing of your personal data. Please note that these rights are not absolute and are subject to certain exemptions under the Data Protection Law, 2017, the Data Protection Regulations, 2018, and any other relevant legislation.

Rights	Further Information
To be Informed	You have the right to know that the CSX is processing your personal data, how the CSX uses your personal data and your rights in relation to your personal data.
Access	You have the right to ascertain what type of personal data the CSX holds about you and to receive a copy of your personal data.
Stop Processing	You have the right to request that the CSX cease processing, not to begin processing, or to cease processing for a specified purpose, including for direct marketing purposes, your personal data if you believe that the personal data the CSX holds about you is inaccurate or that the use of your

	personal data is unlawful. If you validly exercise this right, we will store your personal data and will not carry out any other processing until the issue is resolved.
In Relation to Automated Decision-making	Where your personal data is being processed solely by automatic means for the purpose of evaluating your performance at work, creditworthiness, reliability, conduct or any other matters, you have the right to request that no decision be taken by or on behalf of the CSX that significantly affects you.
Rectification, Blocking, Erasure, or Destruction	You have the right to have any inaccurate personal data that the CSX holds about you to be updated or corrected. In certain circumstances, you may request that the CSX delete your personal data from its records.
To Object	Where the CSX relies on a legitimate interests or public functions to process your personal data, you have a right to object to this use. The CSX will comply with your request to stop or restrict processing if it is using one of these legal bases. However, if your personal data is processed due to a legal obligation of the CSX or under a contract, we are not required to comply with your request. For a more detailed explanation of the legal bases of processing for the CSX, please see the table above.

You can exercise any of these rights by submitting a request to us at dataprotection@csx.ky.

We may request that you provide proof of your identity for security reasons and in order to prevent the unauthorised disclosure or misuse of personal data. We will only charge you for requests to access your personal data where they are unreasonable, unfounded or excessive. If, after contacting us, you are still not satisfied with our response, you have the right to lodge a complaint with The Office of the Ombudsman (ombudsman.ky/data-protection). Please see www.Ombudsman.ky for further information.

Changes to this Notice

The CSX may update this notice at any time to reflect changes in our business or to comply with applicable law and regulations. If there are material changes to this notice concerning how we use your personal data, we will notify you by either prominently posting a statement of such changes on www.csx.ky before they take effect. You acknowledge and agree that it is your responsibility to review this notice occasionally to be aware of modifications.

Contact CSX

If you have any concerns about the way your personal data are being used or processed by the CSX, please contact us at dataprotection@csx.ky.