



PRIVACY POLICY

02 March 2020

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1. Introduction;

This Privacy Policy explains how the MAX Group Limited and its affiliates including MAX Markets, MAX Markets Swiss, MAX Clearing and MAX Custodian Limited (“MAX“, “we“, “our“ or “us“) collect, use, disclose and transfer personal information that has been provided to us. Personal data about you when you are a Member, a client or employee of a Member, a beneficial owner of a Member or a user of MAX (collectively, “users“ “your“ or “you“) means any data relating to an identified or identifiable natural person.

Our Privacy Policy must be read together with any legal notices or terms and conditions which may be available on pages of our website. Unless otherwise superseded by alternative terms and conditions (such as in users or employee contracts), the method by which the user's personal data is collected, used, distributed, and maintained will be following this policy.

2. Data we collect and hold about you

- **Use of our Products or Services** – your personal data will be used by MAX to provide you with MAX products and services.
- **By participating in one of our Events** – if you have attended any of our events, we may collect your name, organisation, job title, telephone numbers and email address.
- **When you visit or register to use our website** – we may collect some data through cookies. This may include data regarding your use of our website, including the pages you viewed, any document downloads, any subscription for alerts or newsletters and any search terms entered. Your IP address may be used by MAX to provide you with further data regarding MAX.
- **Use of Membership Data** – if you seek or have obtained membership in any type of MAX affiliates, then we will collect and use relevant data to carry out our regulatory due diligence processes, including amongst others, your name, phone number, title, email address and passport. This data may be shared with approved third-party service providers of MAX and with relevant regulatory authorities.
- **Use of MAX Technology Systems** – while using any software application made available by MAX, personal data may be collected regarding your device, operating system, browser, application name, vendor, IP address, and country of origin.
- **Use of MAX Market Data** – we may collect personal data such as names, titles, phone numbers and emails for our own business and administrative purposes.
- **Recruitment and Employment** – we may collect personal data from applicants and employees as a part of our recruitment process, to conduct interviews and employee on-boarding. We may collect personal data such as name, contact details, professional background, reference, background checks and bank account information for payroll, and for employee insurance.
- **Use of Social Networks** – you may be able to connect your personal or business social media accounts to social media accounts maintained by MAX (LinkedIn, Twitter, etc). Your use of this functionality shall be treated as your consent for MAX to obtain the personal data available on the social media account you link to MAX, in accordance with the privacy policies of those social media sites.
- **Records of Correspondence** – we keep records of communications, which take place between you and us, including emails, letters, meetings and telephone calls.

- **Other Information** – additional information you provide to us or created by us when providing services to you.

3. Purposes for which we use your Personal Data are as follows:

- a. Carrying out due diligence, enhanced due diligence, politically exposed person checks and performing risk assessment on:
 - i. Members;
 - ii. Members' directors, beneficial owners, and authorised persons.
- b. Carrying out our obligations to Members and users of our services under any applicable contract (such as the Membership Agreement);
- c. Legal and regulatory compliance, which include;
 - i. Performing checks and monitoring transactions.
 - ii. Sharing information on suspected financial crimes, fraud and threats with law enforcement agencies and regulatory authority.
- d. Managing users' grievances and resolutions;
 - i. Investigating any complaints;
 - ii. Providing evidence in any dispute or anticipated disputes.
- e. Sending you marketing and promotional materials about our services, news and events;
 - i. Sending our email newsletters, information about services and related information which may be of interest to you;
 - ii. Notifying you about changes to our services;
 - iii. Sending you invites to our events.
- f. Internal management, administrative and organisational purposes;
 - i. Records keeping, document retention/storage;
 - ii. Database management;
 - iii. Carrying out statistical analysis, creating forecasts and research purposes.
- g. Business continuity and risk management;
 - i. For detecting and preventing fraud and for risk management purposes;
 - ii. For database management;
 - iii. For business and disaster recovery (creating backups);
 - iv. Ensuring network and information security.
- h. Sharing data with other third parties;
 - i. Including third parties who process personal data on our behalf.

4. Information Sharing

- a. We only share your information with MAX affiliates to provide you with the services you have requested and to fulfil our contractual obligations to you, and to fulfil legal and regulatory requirements;
- b. We may share your data with third parties who process data on our behalf to provide you or us with products or services for the purposes outlined above. These third parties include;
 - i. Professional advisers, including lawyers, insurers and tax advisers;
 - ii. Screening services provider, including due diligence and financial crime screening databases providers;
 - iii. IT consultants, business partners and service providers, including hosting and cloud services providers;
 - iv. Other suppliers and providers of services to us, including banks, our sub-contractors' agents and other entities within our group;
 - v. Investors and other relevant parties in the event of an actual potential sale or other corporate transactions related to MAX.
- c. We may also share your data with other third parties, where required or permitted by law for example;
 - i. Regulatory authorities;
 - ii. Government departments;
 - iii. To the extent required by law, regulations or court order, for example, if we are under a duty to disclose your personal data in order to comply with any legal obligation;
 - iv. When we consider disclosure to be necessary or appropriate to prevent physical harm or financial loss or in connection with an investigation of suspected or actual illegal purpose;
 - v. For the prevention or detection of any fraud or other criminal activity.

5. Transferring your personal information

- a. Where we cause your data to be transferred, we will ensure that it is protected and transferred in a manner consistent with legal requirements applicable to the information and where required, with your consent;
- b. We may, during the course of business transfer, store your personal data to a web hosting and/or cloud service provider, which may be located outside of our usual place of business as part of our disaster recovery plan, which may include processing of such information by staff operating outside of our usual place of business;
- c. You can request further details about the safeguards that we have in place in respect of transfers of personal data outside of our usual place of business;
- d. By submitting your personal data to us, you agree to us transferring, processing and storing your data as described above.

6. Retention of your Personal Information

We retain your personal data for the length of time required for the specific purpose or purposes for which it was collected. However, we may be obliged to store some personal data for a longer time, taking into account factors including:

- a. legal obligation(s) under Applicable Laws to retain records for a certain period of time;
- b. maintain business records for analysis and/or audit purposes;
- c. defend or bring any existing or potential legal claims;
- d. deal with any complaints regarding the services; and
- e. guidelines issued by relevant data protection authorities.

7. Protection of Your Personal Information;

- a. We will hold your personal data securely whilst it is under our control, including where it is processed by third party service providers on our behalf. We keep the data for as long as is necessary for the relevant purpose;
- b. We take the security of our physical premises, our servers and the website seriously and we will take all appropriate technical measures using recognised security procedures and tools in accordance with good industry practices to protect your personal data across all of these platforms;
- c. You should be aware that the transmission of information via the Internet is not completely secure we cannot guarantee the security of your data transmitted to our website.

8. Your Choices and Rights;

You have a number of rights in relation to the personal data that we hold about you and you can exercise your rights by contacting us using the details in 'Contact Us' section.

These rights include:

- a. Obtaining information regarding the processing of your personal data and access to the personal data which we hold about you.
- b. Requesting that we correct your personal data if it is inaccurate or incomplete.
- c. Requesting that we erase your personal data in certain circumstances. Please note that there may be circumstances where you ask us to erase your personal data but we are legally entitled/obliged to retain it.
- d. Withdrawing your consent, although in certain circumstances it may be lawful for us to continue processing without your consent if we have another legitimate reason (other than consent) for doing so. Withdrawal will not affect the lawfulness of processing before the withdrawal.

There may be circumstances in which we are entitled to refuse requests for access to copies of personal information, such as if the data is subject to legal professional privilege.

9. Your consent;

By using our website, you agree to the terms of this Privacy Policy, as may be updated from time to time.

10. **Applicable legislation;**

Use of our website and any activities concluded with us are governed by the laws of the United Kingdom. This Privacy Policy is written in line with international best practices and in compliance with all Applicable Laws.

11. Changes to Privacy Statement;

Our website and/or any other information that we display publicly may change from time to time, due to many factors such as the Applicable Laws or our own internal processes. As a result, it may be necessary for us to make changes to this Privacy Policy.

You may request a full copy of this Privacy Policy from us using the contact details set out below. If we change this Privacy Policy in any way, the updated version will be posted on our website in a timely manner.

12. Contact us

If you have questions or concerns regarding the way in which your personal information has been used, please contact:

MAX GROUP.
1 Royal Exchange
London
EC3V 3DG
United Kingdom
Email: info@max.net