

# Privacy Policy

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## 1. INTRODUCTION

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This Privacy Policy (the “Policy”) describes how the ADS Group (“ADS”) collects, uses and shares the information you provide to us and the information we collect in the course of operating our business and our websites (regardless of where you visit it from) and informs you about your privacy rights and how the law protects you.

We appreciate that there is a lot of information here but we want you to be fully informed about your rights and how ADS uses your data. This Policy is provided in a layered format so you can click through to the specific areas set out below. Alternatively you can download a pdf version of the policy [here](#).

## 2. IMPORTANT INFORMATION AND WHO WE ARE

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- **PURPOSE OF THIS POLICY**

It is important that you read this Policy together with any other privacy notice or fair processing notice we may provide on specific occasions when we are collecting or processing personal data about you so that you are fully aware of how and why we are using your data.

- **DATA CONTROLLER**

ADS is made up of different legal entities, details of which can be found [here](#). This Policy is issued on behalf of the ADS Group, so when we mention ADS, “we”, “us” or “our” in this Policy, we are referring to the relevant company in the ADS Group responsible for processing your data. For example, ADS Securities LLC, ADS Securities London Limited, ADS Securities Hong Kong Limited and their affiliates are all part of ADS.

We will let you know which entity will be the controller for your data when you purchase a product or service from us. Specifically, your data will be controlled by the ADS entity that you have approached to provide services to you in the region.

- **DATA PROTECTION OFFICER**

We have appointed a data protection officer (“DPO”) who is responsible for overseeing questions in relation to this Policy. If you have any questions about this Policy, including any requests to exercise your legal rights, please contact the DPO using the details set out below:

Full name of legal entity: **ProDPO Limited**

Email address: [contact@prodpo.com](mailto:contact@prodpo.com)

Postal address: Floor 8, 71 Queen Victoria Street, London, EC4V 4AY

Telephone number: +44 (0)20 3697 7206

You have the right to lodge a complaint with a supervisory authority, in particular in the member state of your habitual residence, place of work or of an alleged infringement of applicable data protection laws, for example the GDPR and applicable data protection laws.

- **CHANGES TO THE POLICY MADE BY US AND YOUR DUTY TO INFORM US OF CHANGES RELATED TO YOU**

It is likely that we will need to update this Policy from time to time. We will notify you of any significant changes.

It is important that the personal data we hold about you is accurate and current. Please keep us informed if your personal data changes during your relationship with us.

- **THIRD-PARTY LINKS**

Our website may include links to third-party websites, plug-ins and applications. Clicking on those links or enabling those connections may allow third parties to collect or share data about you. We do not control these third-party websites and are not responsible for their privacy statements. When you leave our website, we encourage you to read the privacy notice of every website you visit.

- **LEGAL BASES WE RELY ON TO COLLECT / PROCESS YOUR PERSONAL DATA**

The law on data protection allows the collection and processing of personal data for a number of different reasons, such as:

- **Consent:** In specific situations, we can collect and process your data with your consent. For example, when you tick a box on our website to receive e-mail news updates.
- **Performance of contract with you:** means processing your data where it is necessary for the performance of a contract to which you are a party or to take steps at your request before entering into such a contract. For example, to register you as a new customer.
- **Comply with a legal or regulatory obligation:** means processing your personal data where it is necessary for compliance with a legal or regulatory obligation that we are subject to. For example, we can pass on personal data to prevent and respond to actual or potential fraud or other illegal activities.
- **Legitimate Interest:** means our legitimate interest in conducting and managing our business to enable us to give you the best service or product and the most secure experience. We make sure we consider and balance any potential impact on you (both positive and negative) and your rights before we process your personal data for our legitimate interests. For example, if we engage in marketing and business development activity in relation to our financial services which may include updates, marketing communications and other information that may be of interest to you.

### **3. THE DATA WE COLLECT ABOUT YOU**

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Personal data, or personal information, means any information about an individual from which that person can be identified. It does not include data where the identity has been removed (anonymous data).

We may collect, use, store and transfer different kinds of personal data about you which we have grouped together as follows:

- **Identity Data** may include first name, maiden name, last name, username or similar identifier, marital status, title, date of birth and gender, nationality, passport, national insurance number or other tax

payer data and, in the case of any recruitment application, education and qualification details, your CV, photograph and any other details set out in your application.

- **Contact Data** includes billing address, delivery address, email address and telephone numbers.
- **Financial Data** includes income, net worth, bank account and payment card details.
- **Transaction Data** includes details about payments to and from you and other details of products and services you have purchased from us.
- **Technical Data** includes internet protocol (IP) address, your login data, browser type and version, time zone setting and location, browser plug-in types and versions, operating system and platform and other technology on the devices you use to access this website.
- **Profile Data** includes your username and password, purchases or orders made by you, your interests, preferences, feedback and survey responses.
- **Usage Data** includes information about how you use our website, products and services.
- **Marketing and Communications Data** includes your preferences in receiving marketing from us and our third parties and your communication preferences.

We also collect, use and share **Aggregated Data** such as statistical or demographic data for any purpose. Aggregated Data may be derived from your personal data but is not considered personal data in law as this data does **not** directly or indirectly reveal your identity. For example, we may aggregate your Usage Data to calculate the percentage of users accessing a specific website feature. However, if we combine or connect Aggregated Data with your personal data so that it can directly or indirectly identify you, we treat the combined data as personal data which will be used in accordance with this Policy.

We do not collect any **Special Categories of Personal Data** about you (this includes details about your race or ethnicity, religious or philosophical beliefs, sex life, sexual orientation, political opinions, trade union membership, information about your health and genetic and biometric data). Nor do we routinely collect any information about criminal convictions and offences.

- **IF YOU DO NOT PROVIDE SPECIFIC PERSONAL DATA**

Where we need to collect personal data by law, or under the terms of a contract we have with you and you do not provide that data when requested, we may not be able to perform the contract we have or are trying to enter into with you (for example, to provide you with products or services). In this case, we may have to cancel a product or service you have with us but we will notify you if this is the case at the time.

#### **4. HOW IS YOUR PERSONAL DATA COLLECTED?**

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In this context, we use different methods to collect data from and about you including through:

- **Direct interactions.** You may give us your Identity, Contact and Financial Data by filling in forms or by corresponding with us by post, phone, email or otherwise. This includes personal data you provide when you:

- apply for our products or services;
  - create an account on our website;
  - subscribe to our service or publications;
  - request marketing to be sent to you;
  - enter a competition, promotion or survey; or
  - give us some feedback.
- **Automated technologies or interactions.** As you interact with our website, we may automatically collect Technical Data about your equipment, browsing actions and patterns. We collect this personal data by using cookies, server logs and other similar technologies. We may also receive Technical Data about you if you visit other websites employing our cookies. Please see our cookie policy <https://www.adss.com/en-gb/cookie-policy/> for further details.
  - **Third parties or publicly available sources.** We may also receive personal data about you from various third parties and public sources, examples of which are listed below.

## 5. HOW WE USE YOUR PERSONAL DATA

We will only use your personal data when the law allows us to. We have set out below, in a table format, a description of the ways we plan to use your personal data in the ordinary course of business, and which of the legal bases we rely on to do so. We have also identified what our Legitimate Interests are where appropriate.

Note that we may process your personal data for more than one lawful basis depending on the specific purpose for which we are using your data. Please contact us <https://www.adss.com/en-gb/contact-us/> if you need details about the specific legal ground we are relying on to process your personal data where more than one ground has been set out in the table below.

Purpose/Activity	Type of data	Lawful basis for processing
To register you as a new customer	(a) Identity (b) Contact	Performance of a contract with you
To process and deliver your order including: (a) Manage payments, fees and charges	(a) Identity (b) Contact (c) Financial	(a) Performance of a contract with you (b) Necessary for our Legitimate Interests (to recover debts due to us) (c) Consent

(b) Collect and recover money owed to us	(d) Transaction (e) Marketing and Communications	
To manage our relationship with you which will include: (a) Notifying you about changes to our terms or privacy policy (b) Asking you to leave a review or take a survey	(a) Identity (b) Contact (c) Profile (d) Marketing and Communications	(a) Performance of a contract with you (b) Necessary to comply with a legal obligation (c) Necessary for our Legitimate Interests (to keep our records updated and to study how customers use our products/services) (d) Consent
To enable you to partake in a prize draw, competition or complete a survey	(a) Identity (b) Contact (c) Profile (d) Usage (e) Marketing and Communications	(a) Performance of a contract with you (b) Necessary for our Legitimate Interests (to study how customers use our products/services, to develop them and grow our business) (c) Consent
To administer and protect our business and this website (including troubleshooting, data analysis, testing, system maintenance, support, reporting and hosting of data)	(a) Identity (b) Contact (c) Technical	(a) Necessary for our legitimate interests (for running our business, provision of administration and IT services, network security, to prevent fraud and in the context of a business reorganisation or group restructuring exercise) (b) Necessary to comply with a legal obligation
To deliver relevant website content and advertisements to you and measure or understand the	(a) Identity (b) Contact	Necessary for our Legitimate Interests (to study how customers use our products/services, to develop them, to

effectiveness of the advertising we serve to you	(c) Profile (d) Usage (e) Marketing and Communications (f) Technical	grow our business and to inform our marketing strategy)  (c) Consent
To use data analytics to improve our website, products/services, marketing, customer relationships and experiences	(a) Technical (b) Usage	Necessary for our Legitimate Interests (to define types of customers for our products and services, to keep our website updated and relevant, to develop our business and to inform our marketing strategy)
To make suggestions and recommendations to you about goods or services that may be of interest to you	(a) Identity (b) Contact (c) Technical (d) Usage (e) Profile	Necessary for our Legitimate Interests (to develop our products/services and grow our business)

We may collate, process and share any statistics based on an aggregation of information held by us provided that any individual is not identified from the resulting analysis and the collation, processing and dissemination of such information is permitted by law. Generally, we do not rely on consent as a legal basis for processing your personal data other than in relation to third party direct marketing communications to you via email or text message.

- **MARKETING AND DATA CONTROL MECHANISMS**

We strive to provide you with choices regarding certain personal data uses, particularly around marketing and advertising. We may use your Identity, Contact, Technical, Usage and Profile Data to form a view on what we think you may want or need, or what may be of interest to you. This is how we decide which products, services and offers may be relevant for you (we call this marketing).

You will receive marketing communications from us if you have requested information from us or purchased products or services from us or if you provided us with your details when you entered a competition or registered for a promotion and, in each case, you have not opted out of receiving that marketing.

We have established the following personal data control mechanisms:

#### - **OPTING OUT**

You can ask us to stop sending you marketing messages at any time by i) logging into the website or client portal and checking or unchecking relevant boxes to adjust your marketing preferences; or ii) by following the opt-out links on any marketing message sent to you.

Where you opt out of receiving these marketing messages, this will not apply to personal data provided to us as a result of a product/service experience or other transactions.

#### - **THIRD-PARTY MARKETING**

We will get your express opt-in consent before we share your personal data with any company outside the ADS Group of companies for marketing purposes.

#### - **COOKIES**

You can set your browser to refuse all or some browser cookies, or to alert you when websites set or access cookies. If you disable or refuse cookies, please note that some parts of this website may become inaccessible or not function properly. For more information about the cookies we use, please <https://www.adss.com/en-gb/cookie-policy/>

#### - **CHANGE OF PURPOSE**

We will only use your personal data for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason and that reason is compatible with the original purpose. If you wish to get an explanation as to how the processing for the new purpose is compatible with the original purpose, please contact us using the DPO details set out above at the beginning of this Policy.

If we need to use your personal data for an unrelated purpose, we will notify you and we will explain the legal basis which allows us to do so.

## **6. DISCLOSURES OF YOUR PERSONAL DATA**

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We may have to share your personal data with the parties set out below for the purposes set out in the table in paragraph 5 above.

Internal Third Parties, such as, other companies in the ADS Group acting as joint controllers or processors and who are based in the United Arab Emirates, Singapore, Hong Kong and the United Kingdom and provide IT and system administration services and undertake management reporting.

External Third Parties, such as:

- Service providers acting as processors based both inside and outside the EEA who provide IT and system administration services.
- Professional advisers acting as processors or joint controllers including lawyers, bankers, auditors and insurers based both inside and outside the EEA who provide consultancy, banking, legal, insurance and accounting services.

- HM Revenue & Customs, regulators and other authorities acting as processors or joint controllers based in the United Kingdom who require reporting of processing activities in certain circumstances.

Specific third parties e.g. companies who support our website, direct marketing companies, Google, Facebook and data analytics companies etc.

Third parties to whom we may choose to sell, transfer, or merge parts of our business or our assets. Alternatively, we may seek to acquire other businesses or merge with them. If a change happens to our business, then the new owners may use your personal data in the same way as set out in this privacy notice.

- **Fraud prevention agencies (FPAs)**

Before we provide products or services to you, we also undertake checks for the purposes of preventing fraud and money laundering, and to verify your identity. These checks require us to process personal data about you.

The personal data you have provided, we have collected from you, or we have received from third parties will be used to prevent fraud and money laundering, and to verify your identity.

Details of the personal information that will be processed include, for example: name, address, date of birth, contact details, financial information, and device identifiers including IP address.

We and fraud prevention agencies may also enable law enforcement agencies to access and use your personal data to detect, investigate and prevent crime.

We process your personal data on the basis that we have a Legitimate Interest in preventing fraud and money laundering, and to verify your identity, in order to protect our business and to comply with laws that apply to us. Such processing is also a contractual requirement of the products and services you have requested.

Fraud prevention agencies can hold your personal data for different periods of time, and if you are considered to pose a fraud or money laundering risk, your data can be held for up to six years.

- **Consequences of Processing**

A record of any fraud or money laundering risk will be retained by fraud prevention agencies, and may result in others refusing to provide products or services to you.

- **Data Transfer**

Whenever fraud prevention agencies transfer your personal data outside of the European Economic Area (“EEA”), they impose contractual obligations on the recipients of that data to protect your personal data to the standard required by the European Economic Area. They may also require the recipient to subscribe to "international frameworks" intended to enable secure data sharing.

We require all third parties to respect the security of your personal data and to treat it in accordance with the law. We do not allow our third-party service providers to use your personal data for their own purposes and only permit them to process your personal data for specified purposes and in accordance with our instructions.

## 7. INTERNATIONAL TRANSFERS

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We share your personal data within the ADS Group. This will involve transferring your data outside the EEA to other ADS Group members or approved associates/partners as well as processors and potentially controllers who are engaged on our behalf. For example we have ADS Group companies located in the UAE, China and Hong Kong. To the extent we transfer your information outside the EEA, and where these jurisdictions do not have a finding of adequacy by the applicable authorities or regulators, we will enter into agreements with these entities to ensure that appropriate safeguards are in place such as standard contractual clauses adopted by the European Commission.

Please contact our Data Protection Officer at [contact@prodpo.com](mailto:contact@prodpo.com) if you want further information on the specific mechanism used by us when transferring your personal data out of the EEA.

## 8. DATA SECURITY

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We have put in place appropriate security measures to prevent your personal data from being accidentally lost, used or accessed in an unauthorised way, altered or disclosed. In addition, we limit access to your personal data to those employees, agents, contractors and other third parties who have a business need to know. They will only process your personal data on our instructions and they are subject to a duty of confidentiality.

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

## 9. DATA RETENTION

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### • HOW LONG WILL WE USE YOUR PERSONAL DATA FOR?

We will only retain your personal data for as long as necessary to fulfil the purposes we collected it for, including for the purposes of satisfying any legal, accounting, or reporting requirements.

To determine the appropriate retention period for personal data, we consider the amount, nature, and sensitivity of the personal data, the potential risk of harm from unauthorised use or disclosure of your personal data, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal requirements.

By law we have to keep basic information about our customers (including Contact, Identity, Financial and Transaction Data) for a set minimum period after they cease being customers.

In some circumstances you can ask us to delete your data: see Your Legal Rights below for further information.

In some circumstances we may anonymise your personal data (so that it can no longer be associated with you) for research or statistical purposes in which case we may use this information indefinitely without further notice to you.

## 10. YOUR LEGAL RIGHTS

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Under certain circumstances, you have rights under data protection laws in relation to your personal data:

- Request access to the personal data we hold about you.
- Request correction of your personal data when incorrect, out of date or incomplete.
- Request erasure of your personal data.
- Object to processing of your personal data.
- Request restriction of processing your personal data.
- Request transfer of your personal data.
- Right to withdraw consent.

If you wish to exercise any of the rights set out above, please contact our Data Protection Officer at [contact@prodpo.com](mailto:contact@prodpo.com).

- **NO FEE USUALLY REQUIRED**

You will not have to pay a fee to access your personal data (or to exercise any of the other rights). However, we may charge a reasonable fee if your request is clearly manifestly unfounded, repetitive or excessive.

- **WHAT WE MAY NEED FROM YOU**

We may need to request specific information from you to help us confirm your identity and ensure your right to access your personal data (or to exercise any of your other rights). This is a security measure to ensure that personal data is not disclosed to any person who has no right to receive it. We may also contact you to ask you for further information in relation to your request to speed up our response.

- **TIME LIMIT TO RESPOND**

We try to respond to all legitimate requests within one month. Occasionally it may take us longer than a month if your request is particularly complex or you have made a number of requests. In this case, we will notify you and keep you updated.