

## **Data Protection Notice**

### **1 Introduction**

This Data Protection Notice sets out how EJJ Investments Ltd (the "**Company**") deals with your personal information which we collect in the course of you and people and entities connected with you interacting with the Company. The Company is a closed-ended investment company investing in assets benefitting from regulatory and structural change in the financial services sector.

In this Data Protection Notice, "**the Company**", "**we**" or "**us**" refers to the Company. References to "**you**" include all individuals whose personal information we collect, hold and process in the course of operating our business.

Service providers appointed by the Company (including Computershare Investor Services (Jersey) Limited in its capacity as registrar and BNP Paribas Securities Services Limited as administrator and company secretary) may also process your personal information when conducting administrative and other activities relating to the Company. Where they are required to do so in order to comply with their own legal and regulatory obligations, they will do so as data controllers in their own right.

### **2 The personal information we process**

The personal information about you that we may process includes: your name, your employer, job title and contact details, tax residence information, payment details for dividend and redemption proceeds, KYC/CDD information and any personal information provided in communications or dealings with us.

We may also collect and process personal data regarding people connected to you, either by way of professional (or other) association or by way of family relationship.

### **3 Where we obtain your personal information**

We collect personal information from the following sources:

3.1 personal information which you provide to us includes but is not limited to:

- 3.1.1 information set out in subscription agreements;
- 3.1.2 such other forms and documents as we may request that are completed in relation to the administration/management of any investment in the Company;
- 3.1.3 information gathered through client due diligence carried out as part of our compliance with regulatory requirements; or
- 3.1.4 any personal information provided by way of correspondence with us by phone, e-mail or otherwise;

3.2 personal information we receive from third party sources, such as:

- 3.2.1 entities in which you or someone connected to you has an interest;
- 3.2.2 your legal and/or financial advisors;

- 3.2.3 other financial institutions who hold and process your personal information; and
- 3.2.4 credit reference agencies and financial crime databases for the purposes of complying with our regulatory requirements;
- 3.3 personal information received in the course of dealing with advisors, regulators, official authorities and service providers by whom you are employed or engaged or for whom you act.

#### **4 Why we collect your personal information:**

##### *Lawful grounds for processing:*

4.1 We may hold and process your personal information on the following lawful grounds:

- 4.1.1 the processing is necessary for our legitimate interests, provided your interests and fundamental rights do not override those interests;
- 4.1.2 the processing is necessary to comply with our legal and regulatory obligations;
- 4.1.3 on rare occasions where we have obtained consent to processing personal information for a specific purpose; and
- 4.1.4 on rare occasions, where it is needed in the public interest.

##### *Purposes of processing*

4.2 Pursuant to paragraph 4.1 above, personal information may be processed for the purposes set out below ("**Purposes**"). The Purposes based on our legitimate interests are set out in paragraphs 4.2.1 to 4.2.4 inclusive):

- 4.2.1 facilitating the administration of the Company and its service providers;
- 4.2.2 communicating with data subjects as necessary in connection with you investment in the Company;
- 4.2.3 monitoring and recording telephone and electronic communications and transactions:
  - 4.2.3.1.1 for quality, business analysis, training and related purposes in order to improve service delivery; and
  - 4.2.3.1.2 for investigation and fraud prevention purposes, for crime detection, prevention, investigation and prosecution of any unlawful act (or omission to act);
- 4.2.4 to carry out statistical analysis or market research;

- 4.2.5 to comply with the listing, legal, regulatory, reporting and/or financial obligations of the Company or any legal or regulatory obligations of any service provider or functionary (or his/her employer) of the Company;
- 4.2.6 to enforce or defend the rights of the Company, or those of third parties to whom we may delegate such responsibilities;
- 4.2.7 to comply with a legal or regulatory obligation imposed on the Company;
- 4.2.8 collecting, processing, transferring and storing customer due diligence, source of funds information and verification data under applicable anti- money laundering and terrorist financing laws and regulations; and
- 4.2.9 liaising with or reporting to any regulatory authority (including tax authorities) with whom we are either required to cooperate or report to, or with whom we decide or deem it is appropriate to cooperate in relation to an investment, and which has jurisdiction over the Company or its investments.

## **5 Sharing personal information**

5.1 We may share your personal information with our group companies and third parties (including banks, financial institutions or other third party lenders, IT service providers, auditors and legal professionals) to facilitate the running of the Company. The group companies and third parties to which your information may be transferred are based in the following jurisdictions: Jersey, Guernsey, United Kingdom, United States, Canada, Mexico and China.

5.2 Where we share your information with a third party, we require the recipients of that personal information to put in place adequate measures to protect it, including by entering into appropriate data transfer agreements such as the EU standard contractual clauses. If you would like further information about the safeguards we have in place to protect your personal information, please contact the Administrator.

## **6 Retention of personal information**

6.1 Your personal information will be retained for as long as required:

- 6.1.1 for the Purposes for which the personal information was collected;
- 6.1.2 in order to establish or defend legal rights or obligations or to satisfy any reporting or accounting obligations; and/or
- 6.1.3 as required by data protection laws and any other applicable laws or regulatory requirements.

## **7 Access to and control of personal information**

7.1 You have the following rights in respect of the personal information about you that we process:

- 7.1.1 the right to access and port personal information;

- 7.1.2 the right to rectify personal information;
- 7.1.3 the right to restrict the use of personal information;
- 7.1.4 the right to request that personal information is erased; and
- 7.1.5 the right to object to processing of personal information.

7.2 You also have the right to lodge a complaint about the processing of your personal information either with us, with the Office of the Data Protection Commissioner in Jersey ([www.dataci.je](http://www.dataci.je)) or the data protection authority in the EU member state of your usual residence or place of work.

7.3 Where we have relied on consent to process your personal information, you have the right to withdraw consent at any time.

7.4 If you wish to exercise any of the rights set out in this paragraph 7, please contact the Administrator.

## **8 Inaccurate or amended information**

8.1 Please let us know as soon as possible if any of your personal information changes (including your correspondence details). Failure to provide accurate information or to update information when it changes may have a detrimental impact upon our ability to provide our services. Failure to provide information where it is required for anti-money laundering or other legal requirements means that we may not be able to accept applications to invest in the Company and/or to make subsequent distributions.

## **9 Questions**

9.1 If you have any questions about this Data Protection Notice or how we handle your personal information (e.g. our retention procedures or the security measures we have in place), or if you would like to make a complaint, please contact the Administrator, who can be reached as follows:

Telephone: +44 (0) 204 549 0721

Email: [ejficosec@apexgroup.com](mailto:ejficosec@apexgroup.com)

This Data Protection Notice is up-to-date as at 1 May 2019. If it is updated, we will provide you with the updated version.