

## Privacy Policy

### Policy

This Policy is issued by Mariana UFP LLP (together, "MUFP", "we", "us" or "our"), identified as Controller(s) in the Glossary section below and is addressed to individuals outside our organisation with whom we interact, including visitors to our websites (our "Sites"), customers, personnel of corporate customers and vendors, and other recipients of our services, employment candidates, current staff members (together, "you"). Defined terms used in this Policy are explained in the Glossary section below.

This Policy may be amended or updated from time to time to reflect changes in our practices with respect to the Processing of Personal Data, or changes in applicable law or regulation. We encourage you to read this Policy carefully, and to regularly check this page to review any changes we might make in accordance with the terms of this Policy.

### Glossary

Consent	Any freely given, specific, informed and unambiguous indication of the data subject's wishes by which he or she, by a statement or by a clear affirmative action, signifies agreement to the processing of personal data relating to him or her;
Controller	The natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data; where the purposes and means of such processing are determined by Union or Member State law, the controller or the specific criteria for its nomination may be provided for by Union or Member State law;
Data Subject	Any person whose personal data is being collected, held or processed.
Personal Data	Any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person;
Personal Data Breach	Breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data transmitted, stored or otherwise processed;
Processing	Any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, restriction, erasure or destruction;
Processor	The natural or legal person, public authority, agency or other body which processes personal data on behalf of the controller

Sensitive Personal Data	Personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, sexual orientation and the processing of genetic data for the purpose of uniquely identifying a natural person.
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## Use of Cookies

MUFP may obtain information about your general internet usage by using a cookie file which is stored on the hard drive of your computer, for the purposes of systems administration and statistical analysis. Cookies contain information that is transferred to your computer's hard drive and help MUFP to improve this website and to deliver a better and more personalised service to you, including by storing information about your preferences and to recognise you when you return to this website. You may refuse to accept cookies by activating the setting on your browser which allows you to refuse the setting of cookies. However, if you select this setting you may be unable to access certain parts of this website

## Collecting Personal Data

Collection of Personal Data: We collect, use, store and process Personal Data about you; MUFP ensures that it has a legal basis for processing the Personal Data of Data Subjects.

### **MUFP collects Personal Data from a variety of sources as follows:**

- Where we directly request you to provide us with the information and you provide it to us either verbally or in writing (for example, where you contact us via email or telephone, or by any other means);
- in the ordinary course of our relationship with you (for example, in the course of managing your transactions or during the on-boarding process);
- from third parties who provide it to us (for example, your employer; our customers; credit reference agencies; and law enforcement and regulatory authorities);
- from third parties, where you purchase any of our products or services through such third parties;
- when you visit any of our Sites or use any features or resources available on or through a Site. When you visit a Site, your device and browser may automatically disclose certain information (such as device type, operating system, browser type, browser settings, IP address, language settings, dates and times of connecting to a Site and other technical communications information), some of which may constitute Personal Data.

MUFP creates Personal Data about you, such as records of your interactions with us, and details of your accounts, subject to applicable law and regulation.

**The categories of Personal Data about you that we may Process, subject to applicable law, are as follows:**

- personal details: given name(s); preferred name(s); nickname(s); gender; date of birth; age; marital status; Social Security or national insurance number; passport number(s); other government issued number(s) (tax identification number(s); driving licence number(s)); nationality; lifestyle and social circumstances; images of passports, driving licences and signatures; authentication data (passwords, mother's maiden name, challenge/response questions and answers, PINs, facial and voice recognition data); photographs; visual images; and personal appearance and behaviour;
- family details: names and contact details of family members and dependents;
- contact details: address; telephone number; email address; and social media profile details;
- employment details: industry; role; business activities; names of current and former employers; work address; work telephone number; work email address; and work-related social media profile details;
- education history: details of your education and qualifications;
- financial details: billing address; bank account numbers; credit card numbers; cardholder or account holder name and details; instruction records; transaction details; and counterparty details;
- Electronic Identifying Data: IP addresses; cookies, activity logs, online identifiers, unique device identifiers, and geolocation data.

**Purposes for which MUFP may Process your Personal Data, subject to applicable law are:**

- AML/KYC: fulfilling our regulatory compliance obligations, including 'Know Your Client' checks and confirming and verifying your identity (including by using credit reference agencies), screening against government, supranational bodies (including but not limited to the European Union, the Office of Foreign Assets Control and the United Nations Security Council) and/or law enforcement agency sanctions lists, internal sanctions lists and other legal restrictions;
- Client on-boarding: on-boarding new clients and compliance with our internal compliance requirements, policies and procedures;
- Credit worthiness: conducting credit reference checks and other financial due diligence;
- Provision of products and services to you: administering relationships and related services; performance of tasks necessary for the provision of the requested services: communicating with you in relation to those services;
- Marketing/Prospecting: communicating with you via any means (including via email, telephone, text message, social media, post or in person) subject to ensuring that such communications are provided to you in compliance with applicable law: and maintaining and updating your contact information where appropriate;
- Operation of our Sites: operation and management of our Sites; providing content to you: and other information to you: and communicating and interacting with you via our Sites;
- IT operations: management of our communications systems, operation of IT security/IT security audits;
- Health and safety: health and safety assessments and record keeping: and compliance with related legal obligations;

- Security: physical security of our premises (including records of visits to our premises and CCTV recordings); and electronic security (including login records and access details, where you access our electronic systems);
- Investigations: detecting, investigating and preventing breaches of policy, and criminal offences, in accordance with applicable law;
- Legal compliance: compliance with our legal and regulatory obligations under applicable law, including the recording of telephone lines where required;
- Legal proceedings: establishing, exercising and defending legal rights;
- Risk Management Audit: compliance, controls and other risk management.

**MUFP lawfully processes the Personal Data of Data Subjects for the aforementioned purposes as:**

The Processing is necessary for:

- compliance with a legal obligation (for example, to comply with any relevant diversity reporting obligations);
- the detection or prevention of crime (including the prevention of fraud) to the extent permitted by applicable law and regulation;
- establishment, exercise or defence of legal rights;

We have, in accordance with applicable law, obtained your explicit consent prior to Processing your Sensitive Personal Data (as above, this legal basis is only used in relation to Processing that is voluntary- it is not used for Processing that is necessary or obligatory in any way).

Processing your sensitive personal data may be necessary:

- for reasons of substantial public interest and occurs on the basis of an applicable law that is proportionate to the aim pursued and provides for suitable and specific measures to safeguard your fundamental rights and interests.
- in connection with any contract that you may enter into with us, or which we are required to take prior to entering into a contract with you; or
- we have a legitimate interest in carrying out the Processing for the purpose of improving our products or services (to the extent that such legitimate interest is not overridden by your interests or fundamental rights and freedoms).

## Disclosure of Personal Data to Third Parties

We may disclose your Personal Data to other entities within the Mariana Group, for legitimate business purposes (including providing services to you and operating our Sites), in accordance with applicable law.

In addition, we may disclose your Personal Data to:

- you and where appropriate, your family, your associates and your representatives;
- anti-fraud services;
- governmental, legal, regulatory, or similar authorities, ombudsmen, and central and/or local government agencies, upon request or where required, including for the purposes of reporting any actual or suspected breach of applicable law or regulation;
- accountants, auditors, financial advisors, lawyers and other outside professional advisors to MUFP, subject to binding contractual obligations of confidentiality;
- our clearing agents;

- third party Processors (such as payment services providers;.) located anywhere in the world, subject to the requirements noted below in this Section 4;
- any relevant party, claimant, complainant, enquirer, law enforcement agency or court, to the extent necessary for the establishment, exercise or defence of legal rights in accordance with applicable law;
- any relevant party for the purposes of prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, including safeguarding against and the prevention of threats to public security in accordance with applicable law;
- any relevant third-party acquirer(s) if we sell or transfer all or any relevant portion of our business or assets (including in the event of a reorganisation, dissolution or liquidation);

## International Transfer of Personal Data

Because of the international nature of our business, we may need to transfer your Personal Data within MUFP, and more broadly within the Mariana UFP LLP Group, and to third parties, as noted in Section 3 above, in connection with the purposes set out in this Policy. For this reason, we may transfer your Personal Data to other countries that may have different laws and data protection compliance requirements, including data protection laws of a lower standard to those that apply in the country in which you are located.

Where we transfer your Personal Data to other countries, in accordance with our regulatory requirements:

- [Adequacy decisions](#);
- suitable standard contractual clauses; and / or
- other valid transfer mechanisms.

If you would like further information regarding the safeguards applied to international transfers of Personal Data, please use the contact details provided below

## Storage and Retention

Personal Data of Data Subjects is stored for a period necessary to meet the purpose for which it was collected. In addition, personal data of data subjects will be stored for a period necessary to meet legislative and regulatory requirements including retention time periods. Even when you cease to do business with us, we must retain some of your personal data in case of queries or claims.

## Data Security

MUFP uses a variety of security technologies and procedures to help protect your personal information from unauthorised access, use or disclosure. MUFP also take steps to ensure that only persons with appropriate authorisation can access your personal information.

You are responsible for ensuring that any Personal Data that you send to us is sent securely.

## Data Subject Rights

Under the GDPR, you are afforded a number of rights with regards to your personal data. This includes the right to access, rectification, erasure, and restriction. In addition, you have the right to request for a transferrable copy of certain data to be transferred to another entity and you may also withdraw your consent with respect to MUFPP processing your personal data, however this will not affect the lawfulness of the processing based on your consent prior to the withdrawal.

Please refer to MUFPP's Terms of Business for more information on the process to exercise your data subject rights and information regarding your right to make an internal or external complaint. If you have any concerns as to how your data is processed, please use the contact details provided below

## Contact Information

For any questions regarding the Mariana UFP LLP Privacy please contact:

Mark Thomson - Compliance Officer

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Cc: [compliance@marianaufp.com](mailto:compliance@marianaufp.com)

