

Canaccord Genuity Limited Privacy Notice

April 2025

Department: Compliance

Version Date: April 2025

1. Introduction

Canaccord Genuity Limited ("CGL", "we", "us" or "our") gather and process your personal information in accordance with this privacy notice and in compliance with the relevant data protection laws. This notice provides you with the necessary information regarding your rights and our obligations, and explains how, why and when we process your personal data.

CGL's registered office is at 88 Wood Street, London, EC2V 7QR and we are a company registered in England and Wales under company number 01774003. We are registered on the Information Commissioner's Office Register and act as the data controller when processing your data. Our designated Data Protection Monitor can be contacted at CGLdataprotection@cgf.com or by writing to the address given above.

2. Information that we collect

CGL processes your personal information to meet our legal, statutory and contractual obligations and to provide you with our products and services. We will not collect any unnecessary personal data from you and will not process your information in any way, other than as specified in this notice. The personal data that we collect from you includes, but is not limited to, names, contact details (such as your address, email address and telephone number), information such as your job title, bank account details, passport number and tax identification number.

We may collect information from you in a number of ways, including:

- When you or your organisation contact us in respect of the services we provide
- When you or your organisation browse, make an enquiry or otherwise interact on our website
- When you attend a meeting or other event organised by us and provide your personal data to us
- When you or your organisation offer to provide or provide services to us
- During telephone calls which we may need to record to comply with our regulatory obligations
- When you apply directly for a role with us

3. How we use your personal data

CGL takes your privacy very seriously and save as set out below will not disclose, share or sell your data without your consent, unless required to do so by law or regulation. We only retain your data for as long as is necessary and for the purposes specified in this notice.

We may use your personal data for the following purposes ("the Permitted Purposes"):

- Providing services to you
- Administering an agreement we have with you
- Managing our business relationship with you, including payment processing, accounting, auditing, billing and collection, taxation and other support services

- Ensuring compliance with our legal and regulatory obligations (for example anti-money laundering, financial and credit checks, financial crime prevention and detection)
- Managing access to our premises, IT and communications systems, websites and other systems
- Monitoring compliance with our policies
- Providing you with marketing information which we have assessed to be beneficial to you as a customer and in your interests. Such information will be non-intrusive and processed in accordance with our legitimate interests
- To follow your specific instructions
- As part of our recruitment and selection process

We may share your personal data with other members of the Canaccord Genuity group from time to time on a confidential basis where necessary to provide products and services to you and for other business purposes. A list of countries in which the Canaccord Genuity group operates can be found on our website, [Global Locations - Canaccord Genuity](#)

4. Your rights

You have the right to access any personal information that CGL processes about you and to request information about:

- What personal data we hold about you
- The purposes of the processing
- The categories of personal data concerned
- The recipients to whom the personal data has/will be disclosed
- How long we intend to store your personal data for
- If we did not collect the data directly from you, information about the source

If you believe that we hold any incomplete or inaccurate data about you, you have the right to ask us to correct and/or complete the information and we will strive to do so as quickly as possible, unless there is a valid reason for not doing so, at which point you will be informed.

You also have the right to request erasure of your personal data or to restrict processing (*where applicable*) in accordance with the data protection laws, as well as object to any direct marketing from us. Where applicable, you have the right to data portability of your information and the right to be informed about any automated decision-making we may use.

If we receive a request from you to exercise any of the above rights, we may ask you to verify your identity before acting on the request; this is to ensure that your data is protected and kept secure.

Please direct any requests of this nature to CGLdataprotection@cgf.com or by writing to the Data Protection Monitor at the address given above.

5. Sharing and disclosing your information

We do not share or disclose any of your personal information other than for the Permitted Purposes or where there is a legal or regulatory requirement or with your consent. CGL uses third parties to provide various services and business functions; however, we have arrangements in place to ensure that processors acting on our behalf should only process your data in accordance with instructions from us and comply fully with the terms set out in this privacy notice, the data protection laws including GDPR and any other appropriate confidentiality and security measures. For further details, please enquire by email to CGLdataprotection@cgf.com

6. Safeguarding measures

CGL takes your privacy seriously and takes every reasonable technical and organisational measure and precaution to keep your personal data confidential and secure. We work hard to protect you and your information from unauthorised access, alteration, disclosure or destruction and have layers of security measures in place which meet ISO 27001 standards.

7. Transfers outside the EU

CGL, as part of the Canaccord Genuity group, takes pride in providing its clients with access to a wide variety of financial services globally. As such, we may transfer your personal data abroad in accordance with the Permitted Purposes described above. This may result in your personal data being stored/hosted on servers located in countries which do not provide the same level of protection as required by the laws within the European Economic Area. In such circumstances, we will ensure that any such transfer of your personal data is made subject to appropriate or suitable safeguards as required by the data protection laws. This will include entering into the EU Standard Contractual Clauses where appropriate. You may contact us at anytime using the contact details given above if you would like further information on such safeguards.

8. Consequences of not providing your data

You are not obliged to provide your personal information to CGL; however, as this information is required for us to provide you with our services, we may not be able to offer our services without it.

9. Legal basis for processing your personal data

Depending on the specific circumstances, we may process your personal data on one or more of the following legal grounds:

- The processing is necessary for the performance of an instruction from, or contract with you
- To ensure compliance with our legal and regulatory obligations
- The processing is necessary for the purposes of our legitimate interests, or those of any third-party recipients, provided that such interests have been weighed against your interests, fundamental rights or freedoms. We shall ensure that any processing conducted in accordance with our legitimate interests is proportionate, appropriate and in accordance with our Permitted Purposes. We acknowledge your right to object to such processing at any time
- With consent

10. How long we keep your data

CGL retains personal information for as long as is necessary and we have a Retention & Erasure Policy in place to meet these obligations.

11. Special Category Data

Owing to the products and services that we offer, CGL sometimes needs to process sensitive personal information (known as special category data) about you, to ensure compliance with our regulatory and legal obligations (such as anti-money laundering, and financial crime prevention and detection). Where we collect such information, we will only request and process the minimum necessary for the Permitted Purpose and identify a compliant legal basis for doing so.

12. Marketing

CGL will occasionally send you marketing information by email that has been identified as being beneficial to you and in accordance with our legitimate interests. Such information will be assessed as being relevant to you as a client and non-intrusive. You will always have the option to opt-out/unsubscribe from such marketing information.

If you would prefer **not** to receive marketing information from us, please confirm by email to CGLdataprotection@cgf.com

13. Lodging a complaint

CGL only processes your personal information in compliance with this privacy notice and in accordance with the relevant data protection regulations and laws. However, if you wish to raise a complaint regarding the processing of your personal data or are unsatisfied with how we have handled your information, you have the right to lodge a complaint with the supervisory authority. For further details, please see the Information Commissioner's Office website (<https://ico.org.uk/>)