

Instinet Asia (ex Japan) Privacy Policy

General

Instinet values the personal data entrusted to us by our clients, prospective clients and others who provide personal data to us from time to time, as applicable.

This Privacy Policy sets out the basis on which we will process any personal data collected from you or that you provide to us.

"Personal data" and "Personal Information" (collectively referred hereinafter as personal data) means any information that relates to and from which a living individual can be identified. The scope is broad and the definition may differ from country to country. Examples of Personal Data include name, residential address, email address, phone number, national insurance, ID or passport number or such other information which relates to and can identify the individual. Some jurisdictions also include the concept of "sensitive personal data" which may include financial and tax information, health and medical records, and information on race, religion, age, sexual orientation and similar issues.

"Instinet" means Instinet Pacific Limited and its Instinet affiliates in Asia ex Japan¹. As used throughout this Privacy Policy, the terms "we" or "our" refer to Instinet. Instinet is also part of the Nomura Group.

General principles

Instinet will use reasonable care in processing your personal data, in accordance with all relevant laws, regulations and guidelines issued by the relevant authorities from time to time, as well as applicable internal policies. Key data protection principles that we adhere to include without limitation the following:

¹ These include without limitation Instinet Pacific Limited (Hong Kong), Instinet Singapore Services Pte Ltd and Instinet Australia Pty Ltd.

- Personal data (as defined under the relevant local law) will be collected and processed in a lawful and fair manner, in compliance with all relevant laws and regulations.
- Personal data will be used only for purposes which are listed below in the sub-section "How we use your personal data" or which are otherwise notified to you from time to time, and/or such other purposes as required or permitted by applicable laws and regulations.
- Appropriate technical and organisational measures will also be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data.
- Instinet will (i) have, or implement as required, appropriate control systems to ensure that its employees, agents or contractors are properly apprised of their obligations under applicable laws and regulations as well as relevant internal policies, and (ii) require its external service providers which provide services to Instinet to have proper controls and procedures in place to protect personal data provided to them.
- Instinet will comply with applicable legal/regulatory requirements on record retention and/or internal document retention policies.
- All requests for the access or correction of the personal data we hold about you and/or withdrawal of your consent in respect of our processing of your personal data shall be carried out in accordance with all relevant laws and regulations.

Processing of your personal data

How we collect/use your personal data

We may collect personal data directly from you, your employer and/or third parties. We may use the personal data that we collect in connection with the provision of services or research to you, facilitation and administration of business dealings with you, including without limitation for Know Your Client (KYC) purposes, administration of any features or services of our websites for the purposes of that feature or service, and/or such other purposes as required or permitted by applicable laws and regulations. We do not generally collect sensitive information (as defined in the Australian Privacy Act 1988) about you unless required by applicable laws or regulations. We may also use your personal data to communicate with you about topics that we believe may be of interest to you or otherwise provide marketing information or materials to you from time to time about products and services of the Instinet Group² or Nomura Group. In jurisdictions where your consent is required for this purpose, you consent to Instinet processing and/or using your personal information in accordance with the terms of this Privacy Policy. You are entitled to tell us if you do not wish to receive such communications (see "Your rights" below).

While processing your personal data, we have implemented and will continue to maintain administrative, technical and physical safeguards to protect your personal data from loss, misuse, unauthorized access, disclosure, unauthorized alteration or unlawful destruction.

How we share your personal data

² Instinet Group entities include Instinet Incorporated (USA) and its subsidiaries, including Instinet Canada Limited and Instinet Europe Limited.

We may share your personal data with other Instinet Group entities, Nomura Group entities and/or third parties for the purposes set out below:

- any Instinet Group or Nomura Group company which may be located in or outside the AEJ region in connection with the operation of its business, or the provision of Instinet corporate, back office or IT services or otherwise in connection with any of the purposes expressed in the sub-section "How we collect/use your personal data" or otherwise notified to you from time to time;
- any agent, contractor or third party service provider who provides services to Instinet in connection with the operation of their business, to the extent necessary to perform services on our behalf or to comply with legal and/or regulatory requirements;
- any local or foreign governmental agency or entity, regulatory authority, or other public authority or persons, to the extent necessary for us to comply with any laws, rules, orders, subpoenas, official requests, or similar processes which apply to Instinet anywhere in the world, or as required in connection with any investigation or legal proceedings; and
- any other third party for any purpose for which Instinet may deem such provision necessary including, but not limited to, to ensure compliance with a legal obligation or pursuant to a written request by a local or foreign government/statutory entity.

As we operate globally, your personal data may be transferred to an Instinet Group or Nomura Group company or to third parties providing services to an Instinet Group or Nomura Group company. Such personal data may also be stored in overseas locations (including without limitation Japan, the United Kingdom, the United States, etc.) by any such entity. When transferring your personal data to such third parties, we will take all appropriate steps to provide an adequate level of protection for your personal data in accordance with relevant laws and regulations. These steps may include, where appropriate, use of suppliers that adhere to applicable international standards, requiring service providers to agree to appropriate contractual protections and/or put in place appropriate technical and organizational security measures in respect of the processing of personal data, and exercising audit and inspection activities in respect of the actions of those third parties in connection with the use of your personal data.

Your rights

You are entitled to access any of the personal data that we hold about you by submitting a written request to the AEJ Data Protection Officer. You are also entitled to ask us to correct, cancel or delete any of your personal data where you believe such information is inaccurate or out of date. To the extent permitted by applicable law, reasonable fees may be charged by Instinet for complying with your request(s) to access personal data that Instinet holds about you.

To exercise your rights of access, cancellation or correction, to opt-out of receiving marketing about products and services that we believe may be of interest to you, or if you would like to raise any other questions or complaints relating to privacy, please submit a written request to the AEJ Data Protection Officer.

We will review your complaint and make such investigations as necessary to determine whether any breach of the privacy principles has taken place.

Hong Kong, Australia, Singapore

AEJ Data Protection Officer
(asiadataprotection@instinet.com)



Note: Your personal data may be contained in an archived electronic back-up file made in accordance with Instinet's normal operating, security and/or disaster recovery procedures provided that such data is deleted from hard drives and servers which are accessible on a day-to-day basis and, except as otherwise required by law or regulation, no attempt is made to recover such data from such back-up file.

Changes to our Privacy Policy

From time to time, we may change this Privacy Policy. The latest version of our Privacy Policy will be posted on <https://www.instinet.com/legal-regulatory>.