

CONEXIM PRIVACY NOTICE

1ST JUNE 2023



INTRODUCTION - CONEXIM APPROACH TO DATA PRIVACY

Conexim is a market leading open architecture Investment Platform, providing a range of investment solutions to the intermediary market and whose offering is available through Financial Advisors, Accountancy Firms and Pensioner Trustees. Conexim is a member of the Great-West LifeCo Inc who are one of the world's leading life assurance organisations.

In order to provide clients, intermediaries, Trustees, and other market participants with our services, Conexim is required to control personal data for clients, intermediaries, and other parties with whom we provide services to or receive services from.

Conexim is committed to protecting and respecting your privacy. Conexim has adopted the principle of **Privacy by Design** and has reviewed and appropriately modified our business processes to comply with this element of the GDPR.

We will ensure that the definition and planning of all new or significantly changed methods for collecting or otherwise processing personal data will be subject to due consideration of privacy issues, including the completion of data protection impact assessments, where necessary.

The use of techniques such as data minimisation and pseudonymisation will be considered where applicable and appropriate.

THIS PRIVACY NOTICE

This privacy notice explains when and why Conexim collects personal information, how it is used, the condition under which it may be disclosed to other and how it is kept secure.

Conexim may amend this privacy notice from time to time and unless there is a material change will not provide prior notification and will update this on its website and client access portals. If a material change is made to this privacy notice, clients who receive services from us will be informed via their client portal. Continued use of our services following any such changes constitutes your acknowledgment and acceptance of those amendments and your agreement to be bound by them.

WHAT PERSONAL INFORMATION FOR CLIENTS DO WE COLLECT AND WHY?

Primarily, we collect personal information only to provide you with services, and to comply with relevant regulations and laws, including internal operating procedures and compliance checks.

The **consent** for the **lawful basis** for controlling and processing your personal information is given when you **apply for an account at Conexim**, and enter into a contract with use to provide you with services.

We also have a **legal obligation** to control and process your personal information to comply with Central Bank of Ireland regulations and Revenue obligations, for which you also give consent when you apply for an account at Conexim.

Conexim does not market its services to the general public as it operates only through intermediaries. Therefore, we will not contact you for marketing purposes, and contact is restricted to that required for us to service your account.

The reasons and types of data we collect is summarised overleaf, along with the primary parties who provide services to us in relation to that data as data processors. Please note that some parties may use sub-processors that are not listed below.

Why we collect information from Clients	What information we collect and control	How information is processed	Disclosure and/or consent	Systems/Sub-Processors Used
To meet regulatory requirements to establish identity and provide services with Pershing under MiFID for execution only clients	Basic information verifying identity for retail clients for non-complex products as well as occupation, financial situation, pension details, banking information	Application form scanned and stored on internal network and transposed into Pershing systems. Information used in internal analysis for reconciliations	Application Form, Terms of Business, Privacy Statement	Paper Filling Internal Network Storage Microsoft 365 Pershing Nexus FTP Servers KnowYourCustomer Finscan MyConexim Canada Life Group Services (IT Services)
To meet regulatory requirements to establish identify and provide services with Pershing under MiFID for advisory or discretionary clients	As above but with additional information on Investment Objectives, financial Situation, Personal circumstances Incl. dependents and health information, Knowledge, skill, experience	Application form and associated documents scanned and stored on internal network.	Application Form, Investment Mandate, Capacity for Loss Form, Financial Personality Assessment, Terms of Business, Privacy Statement	Paper Filling Internal Network Storage Microsoft 365 Canada Life Group Services (IT Services) PortfolioMetrix Asset Management Ltd
To facilitate client reporting	Email addresses and postal addresses	Information transposed into internal systems and Pershing systems Where an intermediary who is advising you on your account requires data to perform their duties, we may pass data back to that intermediary.	Application Form Terms of Business Privacy Statement	Paper Filling Internal Network Storage Pershing Nexus FTP Server to provide data to intermediary systems MyConexim Portus Canada Life Group Services (IT Services)
To satisfy Anti-Money Laundering and Counter Terrorist Financing Legislation	Address details, utility, bank, Photo ID	Scanned and stored on Internal network and transposed into Know Your Customer AML system	Application Form, Terms of Business, Privacy Statement	Paper Filling Internal Network Storage Microsoft 365 KnowYourCustomer Finscan Search4Less Companies Registration Office (CRO) Canada Life Group Services (IT Services)
To Facilitate Revenue Reporting (under Transaction Reporting obligations)	Tax identification Numbers including Foreign Tax identification numbers	Information transposed into Pershing systems and uploaded to Revenue systems	CRS form, Privacy Statement	Paper Filling Internal Network Storage Sage Payroll Software (ARFs) Revenue ROS System Revenue MyEnquiries System Canada Life Group Services (IT Services)
To facilitate Central Bank reporting (under Transaction Reporting obligations)	National identification numbers (including passports, Tax IDs, national insurance numbers, etc.)	Information transposed into Pershing systems and uploaded to Central Bank systems	Transaction Reporting form, Privacy Statement	Paper Filling Internal Network Storage Microsoft 365 Euronext Direct MyConexim Central Bank ONR System Central Bank Portal Canada Life Group Services (IT Services)
Call recording to facilitate dispute resolution, clarification of information and for inspection criteria	All calls made in or out of the business	Stored on a searchable database by phone number and date and internal extension	Application Form, Terms of Business, Privacy Statement	VoiceGrid Call Recording Suite

In particular, it is worth noting that our services are provided under a Model B agreement with **Pershing Securities International Limited**, where Pershing provide you with custody, clearing, settlement and execution services. When you enter an agreement with Conexim for services you also enter into an agreement with Pershing to provide you with those services as detailed more fully in our General Terms of Business.

Under this model, Conexim routinely provide elements of your personal information to Pershing to enable the services to be provided. Further information on Pershing Privacy Statement may be found on www.pershing.ie

Where we collect information for joint accounts or for accounts where you have provided information on others (e.g. acting under deed of trust or in a nominee capacity), this policy applies to the person you are acting as agent for, in line with our General Terms of Business.

WHAT PERSONAL INFORMATION FOR INTERMEDIARIES DO WE COLLECT AND WHY?

Primarily we collect information only to establish and maintain and monitor business relationships, and to ensure intermediaries and the clients are linked appropriately in our systems. The reasons and types of data we collect is summarised below.

Why we collect information	What information we collect and control	How is information processed	Disclosure and/or Consent	Systems Used
To enter into agreements with intermediaries to introduce clients to us to receive and transmit orders to us, and in certain cases, to provide discretionary dealing services or other services to our clients	Basic information verifying regulatory status, information on controlling persons authorised signatories and banking details for payments of commissions collected on their behalf	Application form scanned and stored on internal network and transposed into Pershing systems. Information used in internal analysis for reconciliations	Agency Application Form Agency Agreement Privacy Statement	Paper Filing Microsoft365 Internal Network Storage Email Systems Pershing Systems FTP Servers MyConexim Canada Life Group Services (IT Services)
Call Recording to facilitate dispute resolution, clarification of information and for inspection criteria	All calls made in or out of the business	Stored on a searchable database by phone number and date and internal extension	Agency Agreement Privacy Statement	VoiceGrid Call Recording Suite Canada Life Group Services (IT Services)
To collect management information on business relationships	Name, Firm name, and email address		Under Agency Agreement Opt-out on Email	Internal Network Storage Microsoft365 MyConexim Canada Life Group Services (IT Services)
To provide information on our services, events and performance and to maintain a business relationship	Name, Firm name, and email address	Stored in a database and used for provision of information	Under Agency Agreement Opt-out on Email	Internal Network Storage Microsoft365 Mailchimp Floktu
To maintain a database of intermediary details and engagement as part of a business relationship	Name, Firm name and email addresses, details of business interactions	Stored in a database and used for management information purposes, and for provision of aggregated holdings or trading data to be provided to 3rd parties (in aggregated format only)	Privacy Statement	Internal Network Storage Microsoft365 MyConexim Canada Life Group Services (IT Services)

WHAT ARE YOUR RIGHTS AROUND DATA?

You have a number of rights over your personal information which you can exercise free of charge by contacting us using the contact details in this Privacy Notice. You will need to give us information to help us identify you and we will respond to you within one month in line with regulation. Any restrictions to your rights will be explained in our response.

RIGHT TO BE INFORMED

You have the right to be informed when data is collected and for what purposes. This is typically contained in the same forms that we request data from you so is implicit when you provide the forms to us that we are collecting that information. If we acquire data on you from other sources, you have the right to be informed of what data we have collected for you from other sources.

RIGHT TO ACCESS INFORMATION WE HOLD FOR YOU

You have the right to access the information we hold for you by providing a data access request. This will detail why we hold it, who we pass it to, where we got it from, whether we carried out any automated decisions using this data, whether we transfer it outside of the EU, how long we keep it for.

RIGHT TO BE INFORMED OF MATERIAL BREACHES

We have controls in place to protect your personal information and minimise the risk of security breaches. However, should any material breaches occur, or a breach that results in a high risk for you in terms of loss of protection in relation to your personal information, we will inform you without undue delay, along with making the relevant regulatory reports.

RIGHT TO RECTIFICATION

You can ask us to correct and update personal information we hold about you. It is important we have your up to date personal information, such as contact details.

RIGHT TO ERASURE

If we have provided a regulated product or service to you, we must keep your personal information for a minimum period required by law or regulation. However, you can have your personal information deleted if it is incorrect, if it is no longer needed or has been processed unfairly or unlawfully. If you have withdrawn consent you can ask for your personal information to be deleted.

We will keep a record of your request, so we know why your personal information was deleted.

RIGHT TO DATA PORTABILITY

You can ask for a copy of all personal information that you gave us (including through your interactions with us), and which we hold in an automated and machine readable format. You may also request us to send this personal information in a machine readable format to another company, where possible, and where both parties have the ability to exchange data in this manner.

RIGHT TO RESTRICT PROCESSING OR OBJECT TO PROCESSING

You can restrict or object to any unfair and unlawful collection or use of your personal information. You can object to any automated decision making that has a legal or similar significant impact for you and ask for the decision to be made by a person. You can withdraw consent and object to, for example direct marketing.

HOW DO WE ENSURE THAT DATA IS UP TO DATE AND ACCURATE?

We periodically request clients to confirm their details to us. Should you become aware that your data is not up to date or is inaccurate, please inform us as soon as possible so we can rectify this.

HOW LONG TO WE HOLD PERSONAL INFORMATION FOR?

We retain personal information in line with regulations, currently 6 years following the cessation of a client relationship.

DO WE TRANSFER DATA OUTSIDE OF THE EU?

Your personal information is processed and stored within the EU. However, we do pass personal information securely to our parent company Great-West Lifeco in Canada. We do this for administration purposes. When we do certain secure transfers these files temporarily reside on Canadian servers owned by Great West Life Co. Passing your personal information to certain countries including Canada, is allowed under an adequacy decision made by the European Commission.

Passing your personal information to certain countries, is allowed under Article 49(1)(b) of the General Data Protection Regulation which states *"the transfer is necessary for the performance of a contract between the data subject and the controller, or the implementation of pre-contractual measures taken at the data subject's request"*.

Where we, or our data processors, transfer your personal data outside the EEA, we will take steps to ensure that your personal information is adequately protected and transferred in line with data protection law. Any potential transfers of personal data outside the EU will be carefully reviewed prior to the transfer taking place. This is so that we can ascertain that the receiving third country falls within the limits imposed by the GDPR and that they have appropriate safeguards in place in relation to privacy and personal data protection.

SHARING OF YOUR PERSONAL DATA

Your personal data will be treated as strictly confidential but may be disclosed to the Pensions Authority, Revenue Commissioners, the Financial Services & Pensions Ombudsman, auditors, professional financial advisors and other service providers in connection with your account(s) in Conexim.

Your PPS number is your Personal Public Service Number. It is a unique identifier for use in transactions with public bodies such as the Revenue Commissioners and the Pensions Authority and is used by Conexim for this purpose.

WHO TO CONTACT IN CONEXIM IN RELATION TO DATA PRIVACY ISSUES?

You can contact compliance@conexim.ie in relation to data privacy in Conexim, or phone **+353 1 6798080**, or write to us at **Data Privacy, Conexim, 97 Haddington Road, Dublin 4, D04 YK79, Ireland**.

If you are not happy with how we have processed your personal information, or handled your privacy rights, you can complain to the Data Protection Commission by contacting info@dataprotection.ie, by phone at **+353 761 104800 (LoCall 1890 252231)**, or by post to: **Data Protection Commission, Canal House, Station Road, Portarlinton, Co. Laois, Ireland**.