

MAS UK and its subsidiaries

Last revised: September 2026

Mirae Asset Securities (UK) Ltd. ("**MAS UK**" or the "**Firm**") is a private limited company registered in England and Wales with company number 02607959. MAS UK is authorised and regulated by the Financial Conduct Authority ("**FCA**") with Firm Reference Number 149240.

GTX UK LLP (GTX) is a Limited Liability Partnership registered in England and Wales with partnership number OC316522. GTX UK LLP is authorised and regulated by the FCA with Firm Reference Number 531505.

Mirae Asset Securities (UK) Ltd ("**MAS UK**") and its subsidiaries, including **GTX UK LLP**, are committed to protecting the privacy and security of personal data entrusted to us.

This Privacy Policy (the "**Policy**") explains how MAS UK and its subsidiaries ("**we**", "**us**" or "**our**") collect, use, disclose and otherwise process personal data when you visit our websites, communicate with us, use our services, engage with us in a business or professional capacity, or apply for employment or other opportunities with us.

For the purposes of applicable data protection law, the relevant MAS UK or subsidiary entity will generally act as the **data controller** in respect of the personal data it processes.

This Policy applies to, among others, clients and prospective clients, business contacts, professional advisers and counterparties, website visitors, job applicants and prospective employees, employees and contractors, and visitors to our offices.

We may update this Policy from time to time. The latest version will be made available on our website.

What data privacy principles does the Firm adhere to?

- The Firm will process all personal data in a lawful, fair and transparent manner;
- The Firm will only collect personal data where it is necessary for the purposes described in this Policy;
- The personal data collected by the Firm will be adequate, relevant and limited to what is necessary in relation to the specific purpose for which your data will be processed;
- The Firm will take all reasonable steps to ensure that personal data is accurate and, where necessary, kept up to date;
- The Firm will maintain personal data in a form that permits identification no longer than is necessary for the purposes for which the personal data has been collected for processing, in accordance with the Firm's retention requirements, including those mandated by the Financial Conduct Authority;
- The Firm will hold and process personal data in a manner that ensures appropriate security;

Information we collect

Depending on the nature of our relationship with you, we may collect personal data from you, from your organisation, from third parties and from publicly available sources.

This may include:

- your name, job title, employer and professional contact details;
- postal address, email address and telephone number;
- information relating to your professional background, employment and education history;
- identification and verification information, including passport or other identification details;
- information required for regulatory, anti-money laundering, sanctions, know-your-client and other compliance checks;
- financial and transactional information where relevant to our relationship with you;
- information contained in correspondence, applications, agreements and other documents you provide to us;
- information relating to your use of our websites, including IP address, browser type, device information, date and time of visits and information collected through cookies and similar technologies;
- information relating to meetings, events and visits to our offices;
- CCTV images where CCTV is operated at our premises;
- information contained in telephone calls, emails, electronic communications and other business communications, including where such communications are recorded or monitored for regulatory, compliance, security or business purposes; and
- information provided in connection with recruitment, including CVs, employment history, references, qualifications and other information relevant to an application.

Where appropriate and permitted by law, we may also process special category personal data or information relating to criminal convictions and offences. Such information will only be processed where an appropriate legal basis and, where required, additional condition under applicable data protection law applies.

Information obtained from other sources

We may obtain personal data about you from third parties, including:

- your employer or organisation;
- clients, counterparties or other business contacts;
- professional advisers;
- recruitment agencies and referees;
- background-check and screening providers;
- regulatory, governmental and public authorities;
- publicly available sources, including professional networking websites;
- market and financial information providers; and

- other service providers supporting our business.

If you provide us with personal data relating to another individual, you should ensure that the individual is aware that their personal data has been provided to us and is able to access this Policy.

How we use personal data

We may use personal data for the following purposes:

- providing, administering and managing our products and services;
- communicating with you and responding to enquiries;
- establishing and maintaining business relationships;
- carrying out client and counterparty onboarding and due diligence;
- verifying identity and conducting know-your-client, anti-money laundering, sanctions, fraud prevention and other regulatory checks;
- complying with applicable legal and regulatory requirements;
- monitoring and recording communications where required or permitted by law;
- managing, monitoring and protecting our business, systems, premises and information;
- detecting, preventing and investigating fraud, financial crime and other unlawful activity;
- managing risks and conducting internal control, audit and compliance activities;
- administering contracts and other legal arrangements;
- managing recruitment, employment and contractor relationships;
- maintaining appropriate business and corporate records;
- managing information technology, cybersecurity and business continuity;
- improving our websites, systems and services;
- sending information about our services, events or other matters where permitted by applicable law;
- establishing, exercising or defending legal claims; and
- in connection with a proposed or actual merger, acquisition, restructuring, sale or other corporate transaction.

We will only use personal data where we have a lawful basis to do so.

Lawful bases for processing

Depending on the circumstances, we may rely on one or more of the following lawful bases:

Legal or regulatory obligation

Where processing is necessary for us to comply with a legal or regulatory obligation to which we are subject.

Contract

Where processing is necessary to enter into or perform a contract with you, or to take steps at your request before entering into a contract.

Legitimate interests

Where processing is necessary for our legitimate interests, or those of a third party, provided that those interests are not overridden by your rights and interests. Our legitimate interests may include operating and managing our business, managing client and business relationships, maintaining security, preventing fraud and financial crime, improving our services, and managing legal and operational risks.

Consent

Where we ask for and rely upon your consent to process your personal data. Where we rely on consent, you may withdraw it at any time, although this will not affect the lawfulness of processing carried out before consent was withdrawn.

Vital interests

In limited circumstances, where processing is necessary to protect someone's vital interests.

Where we process special category personal data or criminal offence data, we will also rely on an appropriate additional condition under applicable data protection law. Where that condition requires it, we maintain an appropriate policy document setting out how we comply with the data protection principles in relation to that processing and our policies for retaining and erasing that data.

Information sharing

We may disclose personal data to third parties where this is necessary for the purposes described in this Policy or otherwise permitted or required by law.

This may include:

- other companies within the MAS UK group and, where appropriate, other entities within the wider Mirae Asset group;
- clients, counterparties and other persons or organisations with whom we have a business relationship;
- banks, financial institutions, exchanges, clearing houses and other market infrastructure providers;
- professional advisers, including lawyers, accountants, auditors and consultants;
- technology, cybersecurity, hosting, communications and other IT service providers;
- compliance, screening, trade surveillance, recordkeeping and other regulatory service providers;
- recruitment agencies and background-check providers;
- insurers and other business service providers;
- governmental, regulatory, law enforcement and tax authorities; and
- prospective purchasers, investors or other parties involved in a corporate transaction.

We require third-party service providers processing personal data on our behalf to comply with applicable data protection requirements and to implement appropriate security measures.

We may also disclose personal data where necessary to establish, exercise or defend legal rights, protect our property or the safety of individuals, investigate suspected fraud or misconduct, or comply with a legal or regulatory requirement.

International transfers

Because we operate as part of an international financial services group, personal data may be accessed by or transferred to recipients outside the United Kingdom.

Where we transfer personal data outside the UK, we will take appropriate steps to ensure that the transfer is lawful and that appropriate safeguards are in place in accordance with applicable data protection law.

Depending on the circumstances, this may include transfers:

- to a country benefiting from a UK adequacy decision;
- subject to appropriate contractual safeguards, including the UK International Data Transfer Agreement or UK Addendum to the EU Standard Contractual Clauses, where applicable;
- pursuant to other lawful transfer mechanisms available under applicable data protection law; or
- where another applicable derogation permits the transfer.

Further information about the safeguards applicable to a particular transfer may be obtained by contacting us using the details below.

Data retention

We retain personal data only for as long as reasonably necessary for the purposes for which it was collected, including to meet our contractual, legal, regulatory, accounting and reporting obligations.

The length of time for which we retain personal data will depend on factors including:

- the nature and purpose of our relationship with you;
- applicable legal and regulatory requirements;
- our recordkeeping and regulatory obligations;
- the potential need to establish, exercise or defend legal claims; and
- our legitimate business requirements.

When personal data is no longer required, we will securely delete or anonymise it, subject to any applicable legal or regulatory requirements.

Your rights

Subject to applicable law and certain exemptions, you may have rights in relation to your personal data, including the right to:

- request access to personal data we hold about you;
- request correction of inaccurate or incomplete personal data;
- request erasure of your personal data in certain circumstances;
- request restriction of processing in certain circumstances;
- object to processing where we rely on legitimate interests, including certain forms of direct marketing;
- withdraw consent where we rely on consent as our lawful basis;
- request portability of certain personal data; and
- object to or obtain information about certain automated decision-making or profiling where applicable.

These rights are not absolute and may be subject to legal or regulatory exemptions.

If you wish to exercise any of these rights, please contact us using the details in the **Contact Us** section below.

We may need to request additional information from you to verify your identity before responding to a request.

We will generally respond to a valid request within the period required by applicable data protection law. In certain circumstances, this period may be extended where permitted by law.

Right to object

Where we process your personal data on the basis of our legitimate interests, you may have a right to object to that processing.

You also have an absolute right to object to the processing of your personal data for direct marketing purposes.

Cookies and website information

Our websites may use cookies and similar technologies to operate the websites, understand how they are used, maintain security and, where applicable, improve our services and communications.

Information collected through our websites may include your IP address, browser type, operating system, device information, pages visited and the date and time of your visit.

Where required by law, we will seek your consent before placing non-essential cookies or similar technologies on your device.

Our websites may also contain links to third-party websites. We are not responsible for the privacy practices, security or content of third-party websites. We recommend that you review the privacy notices of those websites before providing them with personal data.

Communications and recording

As a regulated financial services business, we may be required to record, retain and monitor certain telephone calls, electronic communications and other business communications.

Communications may be recorded and retained for purposes including regulatory compliance, supervision, market abuse prevention, fraud prevention, dispute resolution, risk management and the protection of our business and our clients.

Where required, we will provide appropriate notice of such recording or monitoring.

Where we record telephone calls or electronic communications relating to a service we provide to you, a copy of that recording is available to you on request for a period of five years, and where the FCA so requires for up to seven years.

Recruitment

Where you apply for employment, a position as a contractor or another opportunity with MAS UK or one of its subsidiaries, we process information provided as part of the recruitment process. Our Candidate Privacy Notice, which is set out below, explains this in full, including what we collect, why, who we share it with and how long we keep it.

Security

We maintain appropriate technical and organisational measures designed to protect personal data against accidental or unlawful destruction, loss, alteration, unauthorised disclosure or access.

However, no method of transmission or storage can be guaranteed to be completely secure.

Consequences of not providing personal data

In certain circumstances, we are required by law or regulation to obtain personal data from you, or we may require it to enter into or perform a contract or establish or maintain a business relationship.

If you do not provide information that we reasonably require, we may be unable to provide certain services, establish or maintain a business relationship, complete required regulatory checks or consider an application for employment or other engagement.

Where appropriate, we will explain whether the provision of particular information is mandatory and the consequences of not providing it.

Changes to this Policy

We may amend this Policy from time to time to reflect changes in our business, technology, legal or regulatory requirements or data processing activities.

The latest version will be published on our website and will take effect from the date stated at the beginning of the Policy.

Complaints

If you have concerns about how we have handled your personal data, we encourage you to contact us first so that we can try to resolve your concern.

You also have the right to complain to the **Information Commissioner's Office (ICO)**, the UK's supervisory authority for data protection.

Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF.
Telephone 0303 123 1113. ico.org.uk

Contact us

If you have any questions about this Policy, wish to exercise your data protection rights or have a concern about our use of your personal data, please contact us:

Mirae Asset Securities (UK) Ltd

Floor 11, Tower 42
25 Old Broad Street
London EC2N 1HQ
United Kingdom

GTX UK LLP

11th Floor, Tower 42
25 Old Broad Street
London EC2N 1HQ
United Kingdom

Privacy enquiries:

legal@miraeassetuk.com

Where your enquiry relates specifically to a particular MAS UK subsidiary, please identify the relevant entity in your correspondence.

Candidate Privacy Notice

Mirae Asset Securities (UK) Ltd ("**MAS UK**") and its subsidiaries, including **GTX UK LLP**, are committed to protecting the privacy and security of personal data entrusted to us.

This Candidate Privacy Notice explains how MAS UK and its subsidiaries ("**we**", "**us**" or "**our**") process your personal data when apply for employment or other opportunities with us, or are otherwise considered a candidate

Mirae Asset Securities (UK) Ltd. and its affiliates (together "**we**" or the "**Company**") operate in different countries and some of these countries have laws related to the collection, use, transfer and disclosure of personal information, including those of our job applicants ("**candidates**"). The purpose of this Candidate Privacy Notice ("**Candidate Notice**") is to give you information about what personal information we collect and why, to whom we disclose it, and how we protect it, as well as your respective privacy rights under applicable laws.

This Candidate Notice applies to you to the extent that you provide or have provided your personal information in your capacity as a job candidate for a position with MAS UK or one of its subsidiaries, either as an employee or as non-employee staff.

The Company is committed to being transparent about how it collects and uses that data and to meeting its data protection obligations.

What information does the Company collect?

The Company collects a range of information about you. This includes:

- your name, address and contact details, including email address and telephone number; talent management information (e.g., degrees, licenses, trainings, professional references, work experience, job titles and duties, seniority, educational history, any role or roles for which you are applying or being considered, and other information about you that you provide in a CV or similar document);
- whether or not you have a disability for which the Company needs to make reasonable adjustments during the recruitment process;
- information about your entitlement to work; and
- Details of any FCA controlled function status.

The Company may collect this information in a variety of ways. For example, data might be contained in application forms, CVs or resumes, obtained from your passport or other identity documents, or collected through interviews or other forms of assessment, including online tests such as psychometric testing.

The Company may also collect personal data about you from third parties, such as references supplied by former employers, information from employment background check providers and information from criminal records check or screenings. Where you are introduced to us by a recruitment agency or search firm, we receive information about you from that firm at the point of introduction, and we will tell you which firm introduced you if you ask. We will seek references, background checks and any criminal records check only once a job offer has been made, and we will tell you when we do so.

Data will be stored in a range of different places, including on your application record, in HR management systems and on other IT systems (including email).

Why does the Company process personal data?

The Company needs to process data to take steps at your request prior to entering into a contract with you. It may also need to process your data to enter into a contract with you.

In some cases, the Company needs to process data to ensure that it is complying with its legal obligations and those required by regulators such as the FCA . For example, it is required to check a successful applicant's eligibility to work in the UK before employment starts.

The Company has a legitimate interest in processing personal data during the recruitment process and for keeping records of the process. Processing data from job applicants allows the Company to manage the recruitment process, assess and confirm a candidate's suitability for employment and decide to whom to offer a job. The Company may also need to process data from job applicants to respond to and defend against legal claims.

The Company may process special categories of data, such as information about ethnic origin, sexual orientation or religion or belief, to monitor recruitment statistics. It may also collect information about whether or not applicants are disabled to make reasonable adjustments for candidates who have a disability. Where we process this information for equal opportunities monitoring, we rely on the

substantial public interest condition relating to equality of opportunity or treatment in Schedule 1 to the Data Protection Act 2018, and you may ask us at any time to stop processing your information for that purpose. Where we process information about a disability in order to make a reasonable adjustment for you, we do so in order to carry out our obligations and exercise specific rights in relation to employment. Where a condition we rely on requires it, we maintain an appropriate policy document setting out how we comply with the data protection principles in relation to that processing and our policies for retaining and erasing that data.

For some roles, the Company is obliged to seek information about criminal convictions and offences. Where the Company seeks this information, it does so because it is necessary for it to carry out its obligations and exercise specific rights in relation to employment.

If your application is unsuccessful, the Company may keep your personal data on file in case there are future employment opportunities for which you may be suited. The Company will ask for your consent before it keeps your data for this purpose and you are free to withdraw your consent at any time.

Who has access to data?

Your information may be shared internally for the purposes of the recruitment exercise which may include managers in the business area with a vacancy and IT staff if access to the data is necessary for the performance of their roles.

We use third party providers to host and support the systems in which recruitment records are held, including our human resources management system. These providers act on our instructions under a written contract and may only process your data for the purposes we specify.

Other than as described below in relation to recruitment agencies, the Company will not share your data with third parties unless your application for employment is successful and it makes you an offer of employment. The Company will then share your data with former employers to obtain references for you, employment background check providers to obtain necessary background checks and the Disclosure and Barring Service to obtain basic criminal records checks, where the role requires one.

Where you were introduced to us by a recruitment agency or search firm, we will tell that firm whether your application is progressing, but we do not share your submission, your assessment score or the detailed reasons for our decision with them.

Your data may be transferred outside the United Kingdom. Where it is, we put in place an appropriate safeguard, which will usually be the International Data Transfer Agreement or the UK Addendum to the European Commission's standard contractual clauses, unless the country benefits from UK adequacy regulations. You can ask us for a copy of the safeguard that applies using the contact details below.

How does the Company protect data?

The Company takes the security of your data seriously. It has internal policies and controls in place to ensure that your data is not lost, accidentally destroyed, misused or disclosed, and is not accessed except by our employees in the proper performance of their duties.

For how long does the Company keep data?

The Company will not retain your personal information for longer than is necessary in relation to the purposes for which your personal information is processed. The criteria used to determine our retention periods are:

- The duration of your application and recruitment process;
- As required by a legal obligation to which we are subject; and
- As advisable in light of our legal position (such as in regard to applicable statutes of limitations, litigation, or regulatory investigations).

Where your application is unsuccessful, we will delete your personal data twelve months after the end of the recruitment process, unless you have asked us to keep it so that we can consider you for future roles.

Subject to applicable law, some personal data will be retained after the application and recruitment process ends, either because you are employed or otherwise engaged by us.

Your rights

Depending on the applicable laws in your country of residence, you may have certain rights related to your personal information. For example, the right to:

- access and obtain a copy of your data on request;
- require the Company to change incorrect or incomplete data;
- require the Company to delete or stop processing your data, for example where the data is no longer necessary for the purposes of processing; and
- object to the processing of your data where the Company is relying on its legitimate interests as the legal ground for processing.

If you would like to exercise any of these rights, please contact legal@miraeassetuk.com.

Depending on your country, you may have the right to lodge a complaint with your local data protection authority if available. If you believe that the Company has not complied with your data protection rights, you can complain to the Information Commissioner.

- **United Kingdom** – Information Commissioner's Office <https://ico.org.uk/make-a-complaint/data-protection-complaints/data-protection-complaints/>

What if you do not provide personal data?

You are under no statutory or contractual obligation to provide data to the Company during the recruitment process. However, if you do not provide the information, the Company may not be able to process your application properly or at all.

Automated decision-making

Recruitment processes are not based solely on automated decision-making.

For some roles we ask you to complete a written or technical assessment. Where we do, we may use an artificial intelligence tool to help score part of your submission against a documented set of criteria. The tool produces a score, and that score is only ever one input. A member of our team

reviews your submission and the score, applies their own judgement, and is able to reach a different conclusion. The decision on whether your application progresses is taken by a person, taking the assessment together with your interview and your experience.

Where you complete an assessment remotely, a member of our team supervises it by video call and screen share, so that you and your screen are observed while you are working. We do not use automated proctoring software. We will ask you to close unrelated applications and turn off notifications before the session begins, and we will not review anything on your screen that is unrelated to the assessment.

We keep your submission, the score and our assessment of it on your application record. If you would like to know how your assessment was scored, or you would like a person to review the outcome, please contact us at legal@miraeassetuk.com and we will respond.