

## APAC DATA PRIVACY NOTICE

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*This notice sets out how Northern Trust will process personal information as a Data Controller*

*[For the matters concerning the processing of personal information collected from the residents in Japan, please refer to APPENDIX 3.]*

We take your privacy seriously and value transparency at the highest possible standard. For more than half a century, we have continued to operate in the APAC region and to meet the privacy needs of our clients.

### WHO WE ARE

This notice sets out how members of the Northern Trust group (collectively and individually, “Northern Trust”, “we” or “us”) will collect, use, disclose and/ or otherwise process (“process”) personal information (which term where used in this notice shall unless the context otherwise requires include reference to sensitive personal information, if any) as a controller or joint controller in connection with the:

- provision of its products and services
- provision or offering products or services to you;
- provision of the Northern Trust global investor solution (the “Northern Trust Matrix”);
- marketing of Northern Trust products or services conducted by Northern Trust;
- regulatory obligations of Northern Trust, including know-your-customer and anti-money laundering;
- management and operation of our businesses and websites; or
- management and operation of our properties and premises.

In this notice, “you” means:

- (i) any individual client of Northern Trust or individual investor in an investment fund in respect of which Northern Trust acts as a service provider (each a “Fund”);
- (ii) any individual who represents or is employed by any institutional client of Northern Trust or any institutional investor in a Fund, or who is a shareholder, settlor, beneficiary, director, officer or ultimate beneficial owner of such institutional client or institutional investor;
- (iii) any individual who represents or is employed by any promoter, investment manager, fund manager or alternative investment fund manager of a Fund (each a “Manager”);
- (iv) any individual employed by our service providers and business partners.

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If you have any questions about our use of your personal information, please contact our Data Protection Officer at [Privacy.Compliance@ntrs.com](mailto:Privacy.Compliance@ntrs.com).

We may amend this notice from time to time to keep it up to date with applicable legal requirements and our global operating model. If we make material changes to this notice, we will aim to notify you by way of including notice of change in this notice or as part of our established correspondence with you. We encourage you to check this page from time to time to review the latest version of this notice.

## HOW WE OBTAIN YOUR PERSONAL INFORMATION

How and why we obtain your personal information may depend on the capacity in which you interact with us.

We will obtain some of your personal information directly from you, such as when you are a customer for our products and services or you complete a form, sign up for marketing or choose to give us personal information as part of the Northern Trust Matrix, including in connection with the security features of the Northern Trust investor portal forming part of the Northern Trust Matrix (“Matrix Portal”).

We will also obtain some of your information indirectly from Northern Trust clients, from Funds, from an investor in the Fund(s) (each an “Investor”), or from a Manager, where you have been appointed by that client, Investor or Manager to access and use Northern Trust products and services, including the Northern Trust Matrix, on its behalf. Where you are an investor in a Fund, references to Investor in this notice should be read as references to you.

We will also obtain some of your information indirectly when we provide the following services to our institutional clients:

Business Line	Brief Overview
Investment Management	Managing client investment portfolios on a discretionary basis in separately managed accounts.
Custody	Custody of global portfolio of assets of clients with numerous add on services offered e.g. safekeeping, income collection, proxy voting, trade settlement, corporate action processing and tax reclamation services.
Fund Administration (with Transfer Agency)	Providing fund valuation and accounting services and transfer agency services to clients, including administration of funds including full investor servicing, transaction processing, reporting and record keeping.
Fund Administration (without Transfer Agency)	Providing fund valuation and accounting services to clients, including administration of funds including transaction processing, reporting and record keeping.
Depository	Providing depository services plus oversight for fund clients and asset verification, cash monitoring and reconciliation and investment compliance services.
Management Company Services	Providing management company services including management of investments fund administration and marketing / distribution services to clients.
Brokerage	Execution-only dealing services in relation to a number of different investment types made by clients
Wealth Management/GFO	Providing trustee services and/or custody arrangements, banking services, preparation of financial statements and tax reporting services to high net worth clients.
Private Equity	Administration of both general and limited partnerships for clients.

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We will receive information about you when Northern Trust acts as a service provider to its institutional clients and where you represent or are employed by such an institutional client or where you are an underlying investor, shareholder, settlor, beneficiary, director, officer or beneficial owner of such institutional client. We also obtain information about you from our service providers and business partners where you work with us in the course of their business.

We will also collect some information from you when you interact with our websites or visit our premises.

#### WHEN WE OBTAIN INFORMATION ABOUT THIRD PARTIES FROM YOU

Where we obtain personal information from you in respect of third parties, you warrant that you are authorised to provide that information to us, that you will only do so in accordance with applicable data protection laws, and that you will ensure that before doing so, the individuals in question are made aware of the fact that Northern Trust will hold information relating to them and that it may use it for any of the purposes set out in this privacy notice, and where necessary that you will obtain consent to Northern Trust's use of the information.

#### TYPES OF PERSONAL INFORMATION WE COLLECT

##### Northern Trust Matrix and Other Services

The types of personal information collected by Northern Trust (with your consent, where required by applicable law) include, without limitation:

- (i) in respect of individual clients and Investors, the name, address (including postal and/or e-mail address), telephone number, bank account details, date of birth, place of birth, nationality, source of wealth, proof of identity details (passport, driving licence or nationality identity, as required or permissible under the law), authorised signatory lists and/or specimen signatures, business card information, occupation, country of residence/tax residence, invested amount and holdings of that Investor;
- (ii) in respect of institutional clients and institutional Investors, and their underlying investors, shareholders, settlors, beneficiaries, directors, officers or beneficial owners, the name and address (including postal and/or e-mail address), bank account details, date of birth, nationality, country of residence/tax residence and percentage ownership of underlying investors, shareholders, settlors, beneficiaries, directors, officers or beneficial owners;
- (iii) in the case of all clients and Investors, any personal information which is required in order to comply with regulatory requirements, including information which is necessary for tax requirements (including tax number and documentation) and for compliance with local or foreign laws;
- (iv) in respect of users of Northern Trust websites and systems, including the Matrix Portal, name, address (including postal and /or email address) and security details, and special categories of personal information, such as biometric data.

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## Operation of the Business

Northern Trust will also collect and use information in the day-to-day operation of our business, including:

- (i) name, address (including postal and /or email address), title and role of employees and representatives of our institutional clients, service providers and business partners;
- (ii) name and contact details for direct marketing;
- (iii) content and metadata of call recordings;
- (iv) CCTV images;
- (v) name, date, time and purpose of visit for visitors of our premises.

## Operating our Electronic Infrastructure

Northern Trust will collect information through your use of our website or other online services, including:

- (i) device information such as operating system, unique device identifiers, the mobile network system;
- (ii) hardware and browser settings;
- (iii) IP address;
- (iv) pages you visit on our site and search engine terms used.

For more information on cookies and other personal identifiers we collect and process, please see our cookies policy at [Cookie Policy | Northern Trust](#).

If you do not provide us with personal information indicated as mandatory (for example by an asterisk on a form), we may not be able to communicate with you or provide certain services to you.

## WHY WE PROCESS YOUR PERSONAL INFORMATION AND LEGAL BASIS

Northern Trust may (with your consent, where required by applicable law) collect and process your personal information for the following purposes:

### Relationship Management and Administration

- Managing and administering your holdings in any relevant Fund and/or managing any account you hold with Northern Trust on an on-going basis;
- Managing our relationship with you or the institution you represent; including establishing, coordinating and managing service delivery, contractual arrangements, reporting and issue resolution with the support from global operations team
- Updating and maintaining client records and records for fee billing.

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Development and Management of our Services

Northern Trust may process your personal information for the following purposes:

- Day to day administration and management of our businesses;
- Carrying out statistical analysis and market research;
- Monitoring and recording calls and electronic communication for (i) processing and verification of instructions, (ii) enforcing and defending Northern Trust’s rights itself or through third parties to whom it delegates such responsibility, (iii) quality, business analysis, training and related purposes;
- Providing you with information about products and services which may be of interest to you or to the institution you represent;
- Disclosing information to third parties, such as service providers of Northern Trust, auditors, regulatory authorities and technology providers;
- Processing in the event of a merger, reorganisation or disposal of, or a proposed merger, reorganisation or disposal of any member (or the assets of any member) of the Northern Trust group.

Crime Prevention and Detection

Northern Trust may process your personal information for the following purposes:

- Northern Trust will itself (or through a third party e.g. credit reference agency) process certain information about you or your directors, officers and employees and your beneficial owners (if applicable) in order to carry out anti-money laundering (AML) checks and related actions which Northern Trust considers appropriate in accordance with Northern Trust’s AML procedures;
- Monitoring and recording calls and electronic communications for investigation and fraud prevention purposes, for crime detection, prevention, investigation and prosecution, and to enforce or defend Northern Trust and its affiliates’ rights, itself or through third parties to whom it delegates such responsibilities or rights in order to comply with a legal obligation;
- Retaining AML and other records of individuals to assist with subsequent screening and ongoing AML customer due diligence and monitoring of them including in relation to investment or other funds or the provision of other services by Northern Trust.

Other Legal and Regulatory Obligations

Northern Trust may process your personal information for the following purposes:

- Reporting tax related information to tax authorities in order to comply with a legal obligation applicable to Northern Trust.
- Reporting IBAN and related bank account information to regulatory authorities in order to comply with a legal obligation applicable to Northern Trust.

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## Protection and Administration of our Physical and Electronic Infrastructure

Northern Trust may process your personal information for the following purposes:

- Site management including the use of:
  - CCTV;
  - Sign-in procedures; and
  - Access control measures.
- Monitoring use of website and online infrastructure for technical improvement and cybersecurity
- Site security purposes, to ensure that all relevant locations are being monitored throughout the day;.
- Disaster recovery, business continuity and information security purposes.

## Northern Trust Matrix

We may use personal information which you provided in connection with an investment in a Fund, or which we have received from a Fund or Manager as a result of services which we provide to that Fund or Manager, for the purposes of the services provided via the Matrix Portal. We may also use this information for the purposes of providing services to other Funds (or their Managers) in which you have invested or in respect of which an Investor has appointed you to access the Matrix Portal.

Northern Trust may process your personal information in connection with the Northern Trust Matrix:

- Holding, maintaining and using the single source record, relating to each Investor;
- Carrying out AML checks and related actions which Northern Trust considers appropriate to meet any legal obligations imposed on the Fund(s) or Northern Trust;
- Updating and maintaining records in connection with our use of the Northern Trust Matrix.

Where an Investor has agreed to Northern Trust's centralised AML procedures, and your personal information is required in connection with that Investor's AML due diligence check, Northern Trust, may process your personal information as a controller by:

- Retaining AML and other records of individuals to assist with the subsequent screening and ongoing AML customer due diligence and monitoring of Investors by Northern Trust and its affiliates, including in relation to other funds or clients of Northern Trust or any of its affiliates.

Where you have subscribed to use Matrix Portal, Northern Trust, as a controller, will additionally use your personal information for:

- Security purposes in connection with Matrix Portal, which are necessary in Northern Trust's and your legitimate interests, or where you have provided your explicit consent in advance to Northern Trust's use of biometric data relating to you;

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- Facilitation of electronic dealings and access to information in connection with investments in the Fund(s), including without limitation the processing of subscription, redemption, conversion, transfer and additional subscription requests, where the relevant Fund permits electronic dealings;
- Disclosing information to third party service and application providers in order to facilitate payment and other services accessed in connection with and to facilitate the functioning of Matrix Portal.

#### WHEN WE ACT AS PROCESSOR

While this notice sets out how Northern Trust will use your personal information as controller (and as joint controller with other members of the Northern Trust group), you should also note that where Northern Trust provides services to a Fund or other institutional client, Northern Trust will continue to act as a processor for that institutional client, Fund and / or its Manager, which will act as controller(s). You should refer to the relevant controller's data protection notice to understand how your personal information will be used in connection with that institutional client or investment in that Fund by you or the Investor that has appointed you to act on its behalf. Northern Trust will not at any time be acting as a joint controller with its institutional clients or a Fund.

#### WHEN WE SHARE YOUR DATA WITH OTHERS

Northern Trust may (with your consent, where required by applicable law) disclose your personal information as follows:

- to its service providers (or their sub-contractors), including their respective affiliates, and other third party service providers engaged by Northern Trust (or their sub-contractors) in order to process the data for the above mentioned purposes; examples of services procured from third parties can include: AML processes including screening, money laundering and identity checks and transaction monitoring, relationship management and call recording/surveillance
- to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting, as required in line with our internal policies;
- to Northern Trust's affiliates as controllers in connection with Northern Trust's centralised AML procedure (where applicable), in connection with investment funds to which those affiliates act as a service provider;
- to credit reference agencies (e.g. Experian) in order to carry out money laundering and identity checks and comply with legal obligations;
- to Northern Trust's affiliates as controllers in connection with the operation and provision of information via Northern Trust's website, systems and / or the Matrix Portal, where you have subscribed to use these; and
- in the event of a merger or proposed merger, any (or any proposed) transferee of, or successor in title to, the whole or any part of the Northern Trust group's business, and their respective officers, employees, agents and advisers, to the extent necessary to give effect to such transaction.

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## WHEN WE TRANSFER YOUR DATA INTERNATIONALLY

Northern Trust maintains a global operating model to provide services and products to clients globally. The disclosure of personal information to the third parties set out above may therefore involve the transfer of data to other jurisdictions outside of your jurisdiction including, but not limited to, the United States of America, the United Kingdom, the European Economic Area (“EEA”), India and the Philippines, in accordance with applicable data protection laws in your jurisdiction (including your consent where required by applicable law).

Where such countries may not have the same data protection laws as your jurisdiction, and are not recognised as having an adequate or comparable level of data protection under data protection law in your jurisdiction, we take appropriate steps to implement alternative arrangements to ensure your data continues to be adequately protected and your privacy rights respected (which may include by way of example standard contractual clauses).

## HOW LONG WE KEEP YOUR DATA

Northern Trust will retain your personal information for as long as required for Northern Trust to perform the services. In general terms, we will retain your personal information for the length of time we perform the services (including the Northern Trust Matrix) or the service to the institution you represent. We may maintain different retention periods for different products and services.

We will also retain your personal information for the period as required by tax and company laws, or other regulations such as anti-money laundering and know-your-customer regulations, to which we or your institution are subject, and as long as necessary for you to be able to bring a claim against us and for us to defend ourselves against any legal claims. This will generally be the length of the relationship plus the length of any applicable statutory limitation period under local laws.

In certain circumstances, we may be permitted or required by applicable law to retain information for a longer period of time, for example where we are in ongoing correspondence or there is a continuing claim or investigation.

## KEEPING YOUR PERSONAL INFORMATION UP TO DATE

Northern Trust will use reasonable efforts to keep your personal information up to date. However, you will need to notify Northern Trust without delay in the event of any change in your personal circumstances, or those of the others mentioned above, so that Northern Trust can keep the personal information up to date. You should do this through Matrix Portal or by contacting [Privacy.Compliance@ntrs.com](mailto:Privacy.Compliance@ntrs.com).

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## YOUR DATA SUBJECT RIGHTS

You may have the following rights under and in accordance with applicable data protection laws, in certain circumstances and subject to certain exceptions, in relation to your personal information:

- Right to access your personal information – You have a right to request that we provide you with a copy of your personal information and to be informed about how we obtained and use your personal information, who it is shared with and who is the controller. You may also have the right to request information about the ways in which your personal information was used or disclosed.
- Right to rectify your personal information – You have a right to request that we correct inaccurate or incomplete personal information.
- Right to restrict the use of your personal information – In certain circumstances you have a right to ask us to restrict the use of your personal information. This applies if you contest the accuracy of the personal information (to allow us to verify its accuracy), it is no longer needed for the purpose for which we collected the information but is required by you to establish or exercise legal claims or defences, or because you have exercised your right to object and we are considering your request. Depending on the situation we may refuse your request, in particular if using this information is necessary for legal claims.
- Right to request that your personal information is erased – In certain circumstances you may have a right to ask us to erase or delete your personal information. Depending on the situation we may refuse your request, in particular if we need to process this information to meet our legal obligations or if the information is necessary for legal claims.
- Right to object to processing of your personal information – In certain circumstances you have the right to object to the processing of your personal information. This applies if we process the personal information on the basis of our legitimate interests or if the information is processed for the purpose of direct marketing. We will review this request to establish if we have compelling legitimate interests which override your rights and freedoms.
- Right to data portability – In certain circumstances you have the right to ask us to provide your personal information to you or another controller in a structured, commonly used, machine-readable format. This applies when we process your information by automated means and this processing is based on your consent or performance of a contract with you.

The scope of these rights may vary from jurisdiction to jurisdiction. You may exercise these rights at any time by contacting Northern Trust by email at [Privacy.Compliance@ntrs.com](mailto:Privacy.Compliance@ntrs.com). We may charge a reasonable fee for processing your request, where permitted by applicable law.

Where you have provided your consent to processing (e.g. to receive information about products and services which may be of interest to you or the institution you represent), you may withdraw your consent at any time by contacting Northern Trust by email at [Privacy.Compliance@ntrs.com](mailto:Privacy.Compliance@ntrs.com).

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Where you withdraw your consent to processing of your personal information, or where Northern Trust requires your personal information to comply with AML or other legal requirements and you fail to provide this information, Northern Trust will not be able to provide services to you or the institution you represent, facilitate dealings in the Fund(s) (whether electronic or otherwise) or provide information in relation to the Funds to you via the Matrix Portal.

#### HOW TO CONTACT THE SUPERVISORY AUTHORITIES

You have the right to lodge a complaint in relation to Northern Trust’s processing of your personal information:

- where your habitual residence or place of work or the alleged infringement is in Australia, with the Office of the Australian Information Commissioner, contactable at: <https://www.oaic.gov.au>;
- where your habitual residence or place of work or the alleged infringement is in Hong Kong SAR, with the Office of the Privacy Commissioner for Personal Data, Hong Kong, contactable at [complaints@pcpd.org.hk](mailto:complaints@pcpd.org.hk);
- where your habitual residence or place of work or the alleged infringement is in Japan, with the Personal Information Protection Commission, contactable at Kasumigaseki Common Gate West Tower 32nd Floor, 3-2-1, Kasumigaseki, Chiyoda-ku, Tokyo, 100-0013, Japan;
- where your habitual residence or place of work or the alleged infringement is in Singapore, with the Personal Data Protection Commission, contactable at the online form available at <https://www.pdpc.gov.sg/Contact-Us>;
- where your habitual residence or place of work or the alleged infringement is in Malaysia, with the Personal Data Protection Commissioner, contactable at the online form available at [https://daftar.pdp.gov.my/p\\_aduan](https://daftar.pdp.gov.my/p_aduan);
- where your habitual residence or place of work or the alleged infringement is in the People’s Republic of China (excluding Hong Kong SAR, Macau SAR, and Taiwan), with the National Financial Regulatory Administration, with its office at 15 Financial Street, Xicheng District, Beijing, 100033; or

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## HOW TO CONTACT US

If you have any questions or complaints about our use of your personal information, please contact our Data Protection Officer at [Privacy\\_Compliance@ntrs.com](mailto:Privacy_Compliance@ntrs.com), and/ or:

<u>Location</u>	<u>Contact</u>
in Australia	Risk Officer The Northern Trust Company Postal Address: Level 12, 120 Collins Street, Melbourne Victoria 3000, Australia Email: <a href="mailto:Privacy_Compliance@ntrs.com">Privacy_Compliance@ntrs.com</a> Telephone Number: +61 3 9947 9300
in Hong Kong SAR	Risk Officer The Northern Trust Company of Hong Kong Limited Postal Address: 88 Queensway, Suite 1901 19th floor Two Pacific Place Central, Hong Kong SAR China Email: <a href="mailto:Privacy_Compliance@ntrs.com">Privacy_Compliance@ntrs.com</a> Telephone number: +852 2918 2900
in Japan:	Compliance Manager Northern Trust Global Investments Japan, K.K. Postal Address: ArkHills Sengokuyama Mori Tower 9-10 Roppongi 1-chome Minato-ku Tokyo 106-0032 Japan Email: <a href="mailto:Privacy_Compliance@ntrs.com">Privacy_Compliance@ntrs.com</a> Telephone number: +81 3-5575-5780
in Malaysia:	Data Privacy Officer The Northern Trust Company Postal Address: Suite 8.01, Level 8, Menara Binjai, 2 Jalan Binjai, 50450 Kuala Lumpur Email: <a href="mailto:Privacy_Compliance@ntrs.com">Privacy_Compliance@ntrs.com</a> Telephone Number: +65 6437 6666
in the People's Republic of China (which for the purposes of this notice shall be deemed to exclude Hong Kong SAR, Macau SAR, and Taiwan):	Branch Head The Northern Trust Company Postal Address: Yintai Center, Tower C, 21st Floor, Unit 2106B, #2 Jianguomenwai Avenue, Chaoyang District, Beijing, China - 100022 Email: <a href="mailto:Privacy_Compliance@ntrs.com">Privacy_Compliance@ntrs.com</a> Telephone Number: +86 10 8513 5300
in Singapore:	Data Privacy Officer The Northern Trust Company Postal Address: One George Street, #12-06, Singapore 049145 Email: <a href="mailto:Privacy_Compliance@ntrs.com">Privacy_Compliance@ntrs.com</a> Telephone Number: +65 6437 6666

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APPENDIX 1 – NORTHERN TRUST ENTITIES / BRANCHES IN APAC

NT Group Entity	Company Registration Address / Principal Place of Business
The Northern Trust Company, Singapore branch	One George Street, #12-06, Singapore 049145
The Northern Trust Company, Melbourne branch	Level 12, 120 Collins Street, Melbourne Victoria 3000, Australia
The Northern Trust Company, Beijing branch	Yintai Center, Tower C, 21st Floor, Unit 2106B, #2 Jianguomenwai Avenue, Chaoyang District, Beijing, China - 100022
Northern Trust Global Investments Japan, K.K.	ArkHills Sengokuyama Mori Tower 9-10, Roppongi 1-chome Minato-ku, Tokyo 106-0032 Japan
The Northern Trust Company of Hong Kong Limited	Suites 1901-12 & 1921-22, 19th Floor, Two Pacific Place, 88 Queensway, Hong Kong
Northern Operating Services Private Limited	6th Floor, Argon South Tower, Bagmane Solarium City, Kundalahalli Road, K R Puram Hobli, Doddanekundi Village, Bengaluru - 560037, Karnataka, India
Northern Operating Solutions Private Limited	9th Floor, Tower B. EON Kharadi Infra Pvt Ltd Phase II SEZ, Survey No. 72/2/1 Kharadi Pune 411014, Maharashtra, India
Northern Operating Services Asia Inc.	8th Floor Tower 3, 9 East, 11th Drive, Uptown Bonifacio, Taguig City, the Philippines
Northern Trust Asset Management Australia Pty Ltd	Level 12, 120 Collins Street, Melbourne Victoria 3000, Australia
Northern Trust Securities Australia Pty Ltd	Level 12, 120 Collins Street, Melbourne Victoria 3000, Australia

Data Protection Contact Email Address – For all Northern Trust Group entities, please contact: [Privacy.Compliance@ntrs.com](mailto:Privacy.Compliance@ntrs.com).

\*These entities also act as joint controller for the purposes of providing Northern Trust Matrix services.

## APPENDIX 2 – JURISDICTION-SPECIFIC REQUIREMENTS (EXCLUDING JAPAN)

In addition to the notice, the following shall apply to you where your habitual residence or place of work is in:

- (a) People's Republic of China (excluding for the purposes of this notice Hong Kong SAR, Macau SAR, and Taiwan) (“Mainland China”)

### HOW WE PROTECT YOUR PERSONAL INFORMATION

Northern Trust has adopted and implemented security measures which are reasonably necessary and appropriate, including technical, administrative and physical procedures designed to protect personal information from loss, misuse or alteration. Such security measures include access controls, encryption and local security certifications.

### HOW LONG WE KEEP YOUR DATA

Your personal information is retained in accordance with Northern Trust's data retention policy.

### YOUR DATA SUBJECT RIGHTS

You may in addition to the data subject rights listed in the main body of this notice have the right to deregister an account set up with Northern Trust, subject to certain exceptions.

In certain circumstances you may have the right to object to processing of your personal information where you believe that you are subject to a decision based solely on automated processing which significantly affects you.

## APPENDIX 3 –JAPAN PRIVACY STATEMENT

### Privacy Statement (Personal Information Protection Declaration)

Northern Trust Global Investments Japan, K.K. (NTGIJ)

#### 1. Principles on Protection of Personal Information

- NTGIJ shall comply with the Act on the Protection of Personal Information (Hereinafter referred to as the “Act”), other relevant laws and regulations concerning the protection of personal information, the guidelines issued by the Personal Information Protection Commission or by competent ministers, the policies of accredited personal information protection organizations, the APAC data privacy notice and this personal information protection declaration.
- Unless otherwise permitted by the Act, NTGIJ shall not, without the consent of the data subject, use collected personal information for purposes other than the specified purpose of use.
- NTGIJ shall make its best efforts to promptly deal with any complaint about personal information in good faith and for the early settlement thereof.

#### 2. Purpose for Collecting Personal Information

NTGIJ shall use the personal information related to its clients to the extent necessary for the types of business and the achievement the purposes of use specified in the section of “WHY WE PROCESS YOUR PERSONAL INFORMATION AND LEGAL BASIS” in the APAC data privacy notice and below. Notwithstanding the foregoing, the Individual Number and the Specified Personal Information prescribed in the Act on the Use of Numbers to Identify a Specific Individual in the Administrative Procedure (Hereinafter referred to as the “Numbers Act”) shall be used only within the scope prescribed in the relevant laws and regulations:

##### (1) Scope of Business

1. Business related to discretionary investment contracts, investment trust management, investment advisory / agency and businesses incidental thereto;
2. Type 2 financial instruments business and businesses incidental thereto; and
3. Any other business in which NTGIJ may engage permitted by laws and regulations and businesses incidental thereto (including a business which may be authorized in the future).

##### (2) Purpose of Use

1. To offer proposals, solicitation and services related to the above businesses;
2. To administer and manage continuous transactions including business contact points related to the above businesses;
3. To verify that a customer is the data subject himself/herself or its agent;
4. To report to the customer the transaction results, investment results, asset value and other information;
5. To conduct administration relating to the deals with customers.
6. To introduce NTGIJ’s or Affiliates’ financial instruments and services, and let customers know various events such as seminars organized by NTGIJ;
7. To conduct investigation relating to market trend and investors’ needs, etc. and perform consulting services; and
8. To provide proper and smooth responses to customers (e.g., giving necessary communication to customers).
9. To conduct proper and smooth service related to the above businesses;

### 3. Notification and Publication of Purpose of Use

NTGIJ has made this Privacy Statement (Personal Information Protection Declaration) available in its corporate website in order to publish the purpose of use of the personal information to be collected.

NTGIJ may notify the data subject in writing whenever necessary (including those sent by email, fax or postal service).

### 4. No Use beyond Specified Purposes

NTGIJ shall not use collected personal information beyond the scope necessary to achieve the specified purpose of use, except for the cases where: a) the consent of the data subject is obtained, b) it is required by laws and regulations, or c) NTGIJ believes that it inures to the benefit of the data subject or public interests and it is difficult to obtain consent of the data subject. The Individual Number and Specific Personal Information shall not be used in excess of the scope of utilization prescribed in the Numbers Act.

### 5. Information concerning the Retained Personal Data

(1) Name, address and representative of the personal information handling operator  
Northern Trust Global Investments Japan, K.K.  
ArkHills Mori Tower, 9-10, Roppongi 1-chome, Minato-ku, Tokyo, 106-0032 Naoto Komoro, Representative Director & President

(2) Measures taken for the security of the retained personal data  
NTGIJ has implemented the organizational / personal / physical / technical measures for the security of the retained personal data. For details of such measures please make inquiry to the contact point specified in Section 7.

(3) Contacts for complaints concerning handling of retained personal data  
Please refer to Section 7.

(4) Name of the accredited personal information protection organization and contact for complaints  
Please refer to Section 10.

### 6. Request for Disclosure, Correction and Discontinuance of Use

Upon request from the data subject to disclose, correct (including add or delete; the same shall apply hereinafter) or discontinue using (including erasure; the same shall apply hereinafter) retained personal data, NTGIJ shall promptly deal with such request in an appropriate manner unless there are reasonable constraints.

If NTGIJ is unable to respond to such request, NTGIJ shall notify it to the data subject without delay. If NTGIJ receives request to disclose whether it retains the Individual Number of the requester, it shall disclose the fact whether it retains such Individual Number or not.

### 7. Inquiries concerning Personal Information and Contact Point for Complaints

With respect to a request for disclosure, correction and discontinuance of use of personal information, as well as other inquiries and complaints, NTGIJ has set up contact point and inquiry method, as follows:

#### Contact Point for Inquiries:

In principle, please notify us by mail or fax to the following address.

Location: ArkHills Sengokuyama Mori Tower, 9-10 Roppongi 1-chome, Minato-ku, Tokyo 106-0032 Japan

FAX: 03-5575-5798

TEL: 03-5575-5780 (available during our working hours from 9:00 a.m. to 5:00 p.m.)

Attn: Compliance Department

Inquiry Method:

The applicant is required to complete the form prescribed by NTGIJ in order to make the procedures go smoothly.

Identity Verification of the Data Subject:

To verify that the applicant is the data subject, he/she may be required to submit the prescribed documents. In addition, upon inquiries from his/her agent, it may become necessary to submit the power of attorney from the data subject.

Fees:

No fee will be charged for normal inquiries in principle.

Ways to Reply:

In principle, NTGIJ notifies the data subject by telephone or in writing (including those sent by e-mail, fax and mail). Please note that NTGIJ's communication with the data subject may be delayed depending on his/her inquiries.

8. Joint-Use with Group Entities

NTGIJ may use personal data relating to corporate customers jointly with its group entities as follows:

- Personal data items in the case of joint use: Items listed in the Section of "TYPES OF PERSONAL INFORMATION WE COLLECT" in the APAC data privacy notice
- Scope of users in the case of joint use: Group entities falling within affiliates as set forth in Article 177, Paragraph 6 of the Cabinet Office Ordinance Concerning Financial Instruments Businesses, which are located in Hong Kong, Singapore, Philippines, India, UK, Australia, Canada, Ireland, Netherlands, Sweden, UAE and US
- Purpose of use by users in the case of joint use: To achieve the section of "WHY WE PROCESS YOUR PERSONAL INFORMATION AND LEGAL BASIS" in the APAC data privacy notice and the above Section 2 "Purpose for Collecting Personal Information" jointly with NTGIJ
- The address and the name of the representative of NTGIJ, which is the entity responsible for the management of personal data to be jointly used: Northern Trust Global Investment Japan, K.K.
- ArkHills Mori Tower, 9-10, Roppongi 1-chome, Minato-ku, Tokyo, 106-0032
- Naoto Komoro, Representative Director & President
- When requested by the data subject whose personal data is jointly used, NTGIJ shall provide to him/her the items specified under Article 18.3 of the Rules for Implementation of the Act such as the information on the equivalent safeguards implemented by the joint users located outside of Japan pursuant to Article 28, Paragraph 3 of the Act and Article 18 of the Rules for Implementation of the Act.

9. NTGIJ may delegate processing of personal data to third party service providers located in and outside Japan to the extent it is necessary to achieve the purpose of use specified in Section 2 of "Purpose for Collecting Personal Information". When requested by the data subject whose personal data is delegated to third party providers located outside Japan, NTGIJ shall provide to him/her the items specified under Article 18.3 of the Rules for Implementation of the Act such as the information on the equivalent safeguards implemented by the third party service providers located outside of Japan pursuant to Article 28, Paragraph 3 of the Act and Article 18 of the Rules for Implementation of the Act.

10. NTGIJ is a target entity of the following associations which are the accredited personal information protection organizations accredited under the Act. The following associations have contact points for complaints and consultation regarding the handling of personal information by its member companies.

[Contact Point for Complaints and Consultation]  
Japan Investment Advisers Association Complaints  
Consultation Desk  
TEL: 03-3663-0505  
Investment Trusts Association Japan  
Investors Consultation Desk  
TEL: 03-5614-8440

[northerntrust.com](http://northerntrust.com)