



Data privacy notice for natural persons EU General Data Protection Regulation (GDPR) and Data Protection Act (DPA)

Applicable to other groups of people (inquirers, visitors, event participants etc.)

Valid from: August 2019

This data privacy notice is intended to provide you with an overview of the processing of personal data and the resulting rights under the provisions of the GDPR and the DPA. Which data are processed specifically and the way in which they are used depends essentially on the individual case. The protection of your personal data is one of our top priorities and for this reason we have implemented a large number of technical and organisational data protection policies in relation to the processing of personal data.

The data controller is:
LGT Bank (Switzerland) Ltd.
Lange Gasse 15
P.O. Box
4002 Basel
Switzerland
Phone: +41 61 277 56 00
E-mail: lgt.ch@lgt.com

Should you have any questions or want to exercise your rights, please contact our data protection officer:
LGT Group Holding Ltd.
Data Protection Officer
Herrengasse 12
9490 Vaduz
Liechtenstein
Phone: +423 235 11 22
E-mail: lgt.datenschutz@lgt.com

1 From which sources does the data originate and what types (categories) of data are processed?

We process personal data that we obtain within the context of an enquiry, an event or other matter (hereinafter "Matter") (e.g. correspondence, documents, contracts, forms, documents, business cards, consents). Insofar as is necessary to deal with the Matter, we also process personal data that are generated as a result of the processing of the Matter or that we have duly obtained from third parties, from public agencies or from other LGT companies. Personal data from publicly available sources (e.g. the press or the internet) may also be processed.

The data we process may also include personal data of other involved natural persons (e.g. entitled persons, authorised agents, representatives). We ask you to inform these people about this data privacy notice.

We process the following categories of data in particular:

- Personal details (e.g. name, date of birth and nationality)
- Address and contact details (e.g. physical address, telephone number and e-mail address)
- Identification data (e.g. passport or identity card data) and authentication data (e.g. specimen signatures)
- Data from public sources and registers (e.g. the commercial register)
- Information on composition of household and relationships (e.g. information on relatives, other family details, legal representatives)

- Information about financial characteristics and on the financial situation (e.g. account details)
- Information on professional and personal background (e.g. professional activity)
- Technical data and information on electronic communication with LGT
- Image and audio data (e.g. video or voice recordings)

2 For what purposes and on what legal basis is personal data processed?

We process personal data in accordance with the provisions of the GDPR and the DPA for the following purposes and on the following legal bases (Art. 6(1) GDPR):

- *For the fulfilment of a contract or to take steps prior to entering into a contract (Art. 6(1)(b) GDPR)* within the context of dealing with a Matter. The purposes of data processing are primarily determined by the specific Matter.
- *For compliance with a legal obligation (Art. 6(1)(c) GDPR) or in the public interest (Art. 6(1)(e) GDPR)*, in particular to comply with statutory or supervisory requirements (e.g. GDPR, DPA, banking law, due diligence, money laundering and market abuse provisions, tax laws and agreements, control and reporting obligations and risk management).
- *To defend our legitimate interests or those of third parties (Art. 6(1)(f) GDPR)* for specifically defined purposes, in particular for making contact, for advertising and marketing purposes (provided the affected natural persons have not objected to the use of their personal data for these purposes), complying with the rights of data subjects (e.g. the right of information), preventing or investigating criminal offences, video monitoring in connection with the right to allow or deny access to the premises and to defend against danger, documenting discussions, ensuring IT security and IT operation as well as building and equipment security, exercising and asserting legal claims, business and risk control, reporting, statistical and planning purposes or for Group-wide coordination.
- *On the basis of consent (Art. 6(1)(a) GDPR)* granted us by the affected natural persons for specific purposes.

With regard to processing personal data collected for one of the above purposes, we reserve the right to also continue processing those data for the other purposes if this is consistent with the original purpose or permitted or stipulated by law.

3 Who obtains access to personal data and for how long are they stored?

The internal and external bodies which require the data in order to deal with the Matter or to safeguard our legitimate interests receive access to personal data. External bodies may be, in particular, companies relating to banking and financial services (e.g. LGT companies, correspondent banks), IT services, advice and consulting, logistics as well as distribution and marketing.

Where there is a statutory or supervisory obligation, public agencies and institutions (e.g. supervisory and tax authorities) may also receive personal data.

Data are only transferred to countries outside Switzerland and the European Union (EU) or European Economic Area (EEA) (so-called third countries) if this is necessary in order to deal with the Matter, if the affected natural persons have given their explicit consent, if it is necessary for important reasons of public interest (e.g. money laundering) or it is required by law (e.g. tax-related reporting obligations). A list of the countries in which LGT Group operates can be found at www.lgt.ch/en/about-us/lgt-worldwide/.

If the Matter is connected with a business relationship, we process and store the personal data throughout the duration of the business relationship, provided certain data are not subject to shorter, mandatory deletion periods. Moreover, the storage period is determined by the necessity and purpose of the respective data processing. If the data are no longer required for compliance with contractual or statutory obligations or to safeguard our legitimate interests (achievement of the purpose) or if granted consent is withdrawn, the data are deleted periodically unless further processing or storage is necessary due to contractual or statutory retention periods or documentation obligations or to preserve evidence for the duration of the applicable statute of limitations.

4 Is automated decision-making, including profiling, carried out?

In principle, our decisions are not based exclusively on automated processing of personal data. If we do use this type of procedure in individual cases, we shall inform you separately insofar as this is required by law.

There are business areas in which personal data is processed at least partly by automated means. The objective of this is to evaluate certain personal aspects insofar as we are obliged to do so by statutory and regulatory requirements (e.g. to prevent money laundering), to conduct needs analyses for services and products within the context of risk management.

Personal data (including data of involved persons) may be analysed and evaluated by automated means in order to identify significant personal characteristics of persons, predict developments or draw up profiles. These are used in particular for auditing, providing individual advice and preparing offers and information which we or other LGT companies may make available. Profiles may also lead to automated individual decisions.

5 What if we are jointly responsible with other data processors?

This data privacy notice also applies to the processing of personal data by other controllers if we collaborate with one or more other controllers (especially LGT companies) within the context of dealing with the Matter and personal data are exchanged with the other controllers on the basis of this collaboration.

The other controllers are obliged:

- to likewise comply with the relevant provisions of the GDPR and provide us with proof of their compliance;
- to keep the required records of processing activities;
- to take suitable technical and organisational measures to protect personal data;
- to conduct a data protection impact assessment if processing is likely to result in a high risk to the rights and freedoms of natural persons, and to notify us thereof where applicable;
- to notify us without delay about any data protection violations;
- to support us in exercising the rights of affected natural persons and make the relevant information available.

We are required to comply with any reporting or notification obligations towards the competent supervisory authority or affected natural persons.

We are responsible for enquiries from the affected natural persons in this context. Enquiries can be addressed to the data protection officer.

6 What data protection rights do you have?

Affected natural persons have the following data protection rights with regard to their personal data (Art. 15 to 21 GDPR):

6.1 Right of information

Affected natural persons may obtain information from us as to whether and to what extent their personal data are being processed.

6.2 Right to rectification, erasure and restriction of processing

Affected natural persons have the right to demand the rectification of inaccurate or incomplete personal data about them without delay. In addition, personal data must be erased if they are no longer required for the purposes for which they were collected or processed, if consent has been withdrawn or the data are being processed unlawfully. Furthermore, affected natural persons have the right to demand a restriction of processing.

6.3 Right of withdrawal

Affected natural persons have the right at any time to withdraw their consent to the processing of their personal data for one or more specific purposes if processing is based on their explicit consent. This shall also apply to the withdrawal of consent that was given before the GDPR came into effect on 25 May 2018. Please note that the withdrawal of consent is only effective for the future and the lawfulness of data processing prior to withdrawal of consent is not affected. Furthermore, withdrawal does not have any effect on data processing conducted on other legal grounds.

6.4 Right to data portability

Affected natural persons have the right to receive any personal data about them which has been provided to us. This must be given to them in a structured, standard and machine-readable format. They furthermore have the right to have this data transferred to another controller (e.g. another bank).

6.5 Right to lodge a complaint

Affected natural persons have the right to lodge a complaint with the competent supervisory authority¹.

The contact details for the competent data protection office in Liechtenstein are:

Data Protection Office Liechtenstein
Städtle 38
P.O. Box
9490 Vaduz
Liechtenstein
Phone: +423 236 60 90
E-mail: info.dss@llv.li

7 Right to object

7.1 In individual cases

If personal data are processed in the public interest or to safeguard the legitimate interests of LGT or of third parties, affected natural persons have the right to object to such processing at any time on grounds relating to their particular situation.

7.2 Direct marketing

Affected natural persons have the right to object informally to the use of their personal data for direct marketing purposes. In the event of objection to this type of processing, we shall no longer process the relevant personal data for this purpose.

Requests should ideally be made in writing to the data protection officer, who is also the point of contact for any other data protection issues.

We reserve the right to modify this data privacy notice and publish it on our website (see the update date at the top of the data privacy notice).

¹ You may also contact another supervisory authority of an EU or EEA Member State, for example in your place of residence or work or at the location of a violation of the data protection regulations.