

## **Euronext US Inc.**

### **EU/Swiss-U.S. Privacy Shield: Consumer Privacy Policy**

**Last Updated: May 1, 2019**

Euronext US Inc. and its subsidiaries Euronext FX Inc., Euronext Markets Americas LLC and Euronext Synapse LLC (collectively, “Euronext U.S.”) respect your concerns about privacy. Euronext U.S. participates in the EU-U.S. and Swiss-U.S. Privacy Shield (collectively, “Privacy Shield”) frameworks issued by the U.S. Department of Commerce. Euronext U.S. commits to comply with the Privacy Shield Principles with respect to Consumer Personal Data the company receives from the EU and Switzerland in reliance on the Privacy Shield. This Policy describes how Euronext U.S. implements the Privacy Shield Principles for Consumer Personal Data.

For purposes of this Policy:

“Consumer” means any natural person who is located in the EU or Switzerland, but excludes any individual acting in his or her capacity as an Employee.

“Controller” means a person or organization which, alone or jointly with others, determines the purposes and means of the processing of Personal Data.

“Employee” means any current, former or prospective employee, contractor, intern or temporary worker of Euronext U.S. or its EU or Swiss affiliates, or any related individual whose Personal Data Euronext U.S. processes in connection with an employment relationship, who is located in the EU or Switzerland.

“EU” means the European Union and Iceland, Liechtenstein and Norway.

“Personal Data” means any information, including Sensitive Data, that is (i) about an identified or identifiable individual, (ii) received by Euronext U.S. in the U.S. from the EU or Switzerland, and (iii) recorded in any form.

“Privacy Shield Principles” means the Principles and Supplemental Principles of the EU-U.S. and Swiss-U.S. Privacy Shield frameworks.

“Processor” means any natural or legal person, public authority, agency or other body that processes Personal Data on behalf of a Controller.

“Sensitive Data” means Personal Data specifying medical or health conditions, racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership (including trade union-related views or activities), sex life (including personal sexuality), information on social security measures, the commission or alleged commission of any offense, any proceedings for any offense committed or alleged to have been committed by the individual or the disposal of such proceedings, or the sentence of any court in such proceedings (including administrative proceedings and criminal sanctions).

Euronext U.S.’s Privacy Shield certification, along with additional information about the Privacy Shield, can be found at <https://www.privacyshield.gov/>.

## **Types of Personal Data Euronext U.S. Collects**

Euronext U.S. obtains Personal Data about Consumers in various ways. For example, Euronext U.S. collects Personal Data directly from Consumers when they visit Euronext U.S.'s websites or use Euronext U.S.'s services and platforms (collectively, the "Services"). The company may use this information for purposes such as to:

- Personalize and improve Consumers' experiences on the Services;
- provide the Services;
- market the Services;
- establish and manage Consumers' accounts;
- identify and authenticate Consumers so that they may use the Services;
- respond to requests and inquiries;
- operate, evaluate and improve Euronext U.S.'s business (including developing new services; enhancing and improving the Services; analyzing the Services; managing communications; performing data analytics and market research; and performing accounting, auditing and other internal functions); and
- protect against, identify and prevent fraud and other criminal activity, claims and other liabilities.

The types of Personal Data Euronext U.S. collects directly from Consumers includes:

- Contact information (such as name, postal address, telephone number and email address);
- company name and job title;
- date of birth;
- passport information;
- driver's license or other government-issued identification numbers;
- login credentials for the Services;
- data collected automatically through the Services (such as IP address, unique device identifier, browser characteristics, device characteristics, operating system, language preferences, referring URLs, information on actions taken on the Services, and dates and times of activity); and
- other Personal Data found in content that Consumers provide, such as through Contact Us or similar features on the Services.

In addition, Euronext U.S. obtains Personal Data, such as contact information and financial account information, of its vendors' representatives. Euronext U.S. uses this information to manage its relationships with its vendors, process payments, and carry out Euronext U.S.'s contractual obligations.

Euronext U.S. also may obtain and use Consumer Personal Data in other ways for which Euronext U.S. provides specific notice at the time of collection.

Euronext U.S.'s privacy practices regarding the processing of Consumer Personal Data comply with the Privacy Shield Principles of Notice; Choice; Accountability for Onward Transfer; Security; Data Integrity and Purpose Limitation; Access; and Recourse, Enforcement and Liability.

## **Notice**

Euronext U.S. provides information in this Policy about its Consumer Personal Data practices, including the types of Personal Data Euronext U.S. collects, the types of third parties to which Euronext U.S. discloses the Personal Data and the purposes for doing so, the rights and choices Consumers have for

limiting the use and disclosure of their Personal Data, and how to contact Euronext U.S. about its practices concerning Personal Data.

Relevant information also may be found in notices pertaining to specific data processing activities.

### **Choice**

Euronext U.S. generally offers Consumers the opportunity to choose whether their Personal Data may be (i) disclosed to third-party Controllers or (ii) used for a purpose that is materially different from the purposes for which the information was originally collected or subsequently authorized by the relevant Consumer. To the extent required by the Privacy Shield Principles, Euronext U.S. obtains opt-in consent for certain uses and disclosures of Sensitive Data. Consumers may contact Euronext U.S. as indicated below regarding the company's use or disclosure of their Personal Data. Unless Euronext U.S. offers Consumers an appropriate choice, the company uses Personal Data only for purposes that are materially the same as those indicated in this Policy.

Euronext U.S. shares Consumer Personal Data with its affiliates and subsidiaries. Euronext U.S. may disclose Consumer Personal Data without offering an opportunity to opt out, and may be required to disclose the Personal Data, (i) to third-party Processors the company has retained to perform services on its behalf and pursuant to its instructions, (ii) if it is required to do so by law or legal process, or (iii) in response to lawful requests from public authorities, including to meet national security, public interest or law enforcement requirements. Euronext U.S. also reserves the right to transfer Personal Data in the event of an audit or if the company sells or transfers all or a portion of its business or assets (including in the event of a merger, acquisition, joint venture, reorganization, dissolution or liquidation).

### **Accountability for Onward Transfer of Personal Data**

This Policy describes Euronext U.S.'s sharing of Consumer Personal Data.

Except as permitted or required by applicable law, Euronext U.S. provides Consumers with an opportunity to opt out of sharing their Personal Data with third-party Controllers. Euronext U.S. requires third-party Controllers to whom it discloses Consumer Personal Data to contractually agree to (i) only process the Personal Data for limited and specified purposes consistent with the consent provided by the relevant Consumer, (ii) provide the same level of protection for Personal Data as is required by the Privacy Shield Principles, and (iii) notify Euronext U.S. and cease processing Personal Data (or take other reasonable and appropriate remedial steps) if the third-party Controller determines that it cannot meet its obligation to provide the same level of protection for Personal Data as is required by the Privacy Shield Principles.

With respect to transfers of Consumer Personal Data to third-party Processors, Euronext U.S. (i) enters into a contract with each relevant Processor, (ii) transfers Personal Data to each such Processor only for limited and specified purposes, (iii) ascertains that the Processor is obligated to provide the Personal Data with at least the same level of privacy protection as is required by the Privacy Shield Principles, (iv) takes reasonable and appropriate steps to ensure that the Processor effectively processes the Personal Data in a manner consistent with Euronext U.S.'s obligations under the Privacy Shield Principles, (v) requires the Processor to notify Euronext U.S. if the Processor determines that it can no longer meet its obligation to provide the same level of protection as is required by the Privacy Shield Principles, (vi) upon notice, including under (v) above, takes reasonable and appropriate steps to stop and remediate unauthorized processing of the Personal Data by the Processor, and (vii) provides a summary or representative copy of the relevant privacy provisions of the Processor contract to the Department of Commerce, upon request. Euronext U.S. remains liable under the Privacy Shield Principles if the company's third-party Processor

onward transfer recipients process relevant Personal Data in a manner inconsistent with the Privacy Shield Principles, unless Euronext U.S. proves that it is not responsible for the event giving rise to the damage.

## **Security**

Euronext U.S. takes reasonable and appropriate measures to protect Consumer Personal Data from loss, misuse and unauthorized access, disclosure, alteration and destruction, taking into account the risks involved in the processing and the nature of the Personal Data.

## **Data Integrity and Purpose Limitation**

Euronext U.S. limits the Consumer Personal Data it processes to that which is relevant for the purposes of the particular processing. Euronext U.S. does not process Consumer Personal Data in ways that are incompatible with the purposes for which the information was collected or subsequently authorized by the relevant Consumer. In addition, to the extent necessary for these purposes, Euronext U.S. takes reasonable steps to ensure that the Personal Data the company processes is (i) reliable for its intended use, and (ii) accurate, complete and current. In this regard, Euronext U.S. relies on its Consumers to update and correct the relevant Personal Data to the extent necessary for the purposes for which the information was collected or subsequently authorized. Consumers may contact Euronext U.S. as indicated below to request that Euronext U.S. update or correct relevant Personal Data.

Subject to applicable law, Euronext U.S. retains Consumer Personal Data in a form that identifies or renders identifiable the relevant Consumer only for as long as it serves a purpose that is compatible with the purposes for which the Personal Data was collected or subsequently authorized by the Consumer.

## **Access**

Consumers generally have the right to access their Personal Data. Accordingly, where appropriate, Euronext U.S. provides Consumers with reasonable access to the Personal Data Euronext U.S. maintains about them. Euronext U.S. also provides a reasonable opportunity for those Consumers to correct, amend or delete the information where it is inaccurate or has been processed in violation of the Privacy Shield Principles, as appropriate. Euronext U.S. may limit or deny access to Personal Data where the burden or expense of providing access would be disproportionate to the risks to the Consumer's privacy in the case in question, or where the rights of persons other than the Consumer would be violated. Consumers may request access to their Personal Data by contacting Euronext U.S. as indicated below.

## **Recourse, Enforcement and Liability**

Euronext U.S. has mechanisms in place designed to help assure compliance with the Privacy Shield Principles. Euronext U.S. conducts an annual self-assessment of its Consumer Personal Data practices to verify that the attestations and assertions Euronext U.S. makes about its Privacy Shield privacy practices are true and that Euronext U.S.'s privacy practices have been implemented as represented and in accordance with the Privacy Shield Principles.

Consumers may file a complaint concerning Euronext U.S.'s processing of their Personal Data. Euronext U.S. will take steps to remedy issues arising out of its alleged failure to comply with the Privacy Shield Principles. Consumers may contact Euronext U.S. as specified below about complaints regarding Euronext U.S.'s Consumer Personal Data practices.

If a Consumer's complaint cannot be resolved through Euronext U.S.'s internal processes, Euronext U.S. will cooperate with JAMS pursuant to the JAMS Privacy Shield Program, which is described on the JAMS website at <https://www.jamsadr.com/eu-us-privacy-shield>. JAMS mediation may be commenced as provided for in the JAMS rules. Following the dispute resolution process, the mediator or the Consumer may refer the matter to the U.S. Federal Trade Commission, which has Privacy Shield investigatory and enforcement powers over Euronext U.S. Under certain circumstances, Consumers also may be able to invoke binding arbitration to address complaints about Euronext U.S.'s compliance with the Privacy Shield Principles.

### **How to Contact Euronext U.S.**

To contact Euronext U.S. with questions or concerns about this Policy or Euronext U.S.'s Consumer Personal Data practices:

Write to:

**Regarding Euronext U.S. and Euronext Markets Americas:**

Attn: Head of Legal and Regulatory, Euronext U.S.  
[SDauber@euronext.com](mailto:SDauber@euronext.com)

**Regarding Euronext FX Inc.:**

[Compliance@fastmatchfx.com](mailto:Compliance@fastmatchfx.com)

**Regarding Euronext Synapse:**

Attn: Chief Compliance Officer  
[PBasilice@euronext.com](mailto:PBasilice@euronext.com)