

## Data protection information for Ascory Bank AG shareholders

The following notes and explanations are intended for the shareholders of Ascory Bank AG, Hamburg ("Company"; "Undertaking"; "Ascory") for information concerning

- Ascory's collection and processing of shareholders' personal data ("personal data"),
- the rights accruing to shareholders under data protection law, in particular the General Data Protection Regulation (GDPR),
- the processing of their personal data in accordance with the requirements of the European General Data Protection Regulation (GDPR), in particular taking into account the information requirements under Articles 12 to 14 GDPR,
- and to inform them about the data subject rights existing under the GDPR in accordance with Articles 15 to 22 and Article 34 GDPR.

### Data Controller for the processing of your personal data

Ascory Bank AG  
Grosse Elbstrasse 39  
22767 Hamburg, Germany  
Tel.: +49 40 66 86 49 0  
Fax: +49 40 66 86 49 49  
Email: [info@ascory.de](mailto:info@ascory.de)

### Purposes and legal basis of the processing of your personal data and the origin of this data

Ascory Bank AG takes the protection of personal data very seriously. Personal data is processed exclusively within the framework of the relevant legal provisions, in particular the EU General Data Protection Regulation (GDPR), the German Federal Data Protection Act, the German Companies Act, the Act on Measures in Company Law, the Law Governing Cooperatives, Associations and Foundations, and Condominium Property Law to Combat the Effects of the COVID-19 Pandemic and all other relevant legal provisions. Shares of Ascory Bank AG are registered shares. Where the custodian bank has not provided personal data to the Company during registration in the share register, it may be collected when registering for the Annual General Meeting or when voting by postal ballot, or when ordering admission tickets and/or issuing proxies. Personal data includes name, address, email address, number of shares, share class, type of share ownership and admission ticket number, as well as the name and address of an authorized shareholder representative, if applicable.

The personal data will be used for the purposes stipulated in the German Companies Act. These purposes are, in particular, communication with shareholders and the handling of the Annual General Meeting. The legal basis for the processing of personal data is the German Companies Act in conjunction with Article 6(1)(c) GDPR. In addition, the Company may also process personal data in order to fulfil other legal obligations, such as regulatory requirements, company, commercial and tax law retention obligations. In order to comply with the provisions of company law, Ascory must, for example, when authorizing the proxies appointed by the Company for the Annual General Meeting, verifiably record the data constituting proof of the authorization and store it for three years in a manner protected against access (section 134(3) sentence 5 German Companies Act). In addition, Ascory processes the relevant personal data when shareholders (pursuant to section 1(2) of the Act on Measures in Company Law, the Law Governing Cooperatives, Associations and Foundations, and Condominium Property Law to Combat the Effects of the COVID-19 Pandemic (COVID-19 Act) in conjunction with the requirements in the notice of the ordinary virtual Annual General Meeting) exercise shareholder rights via the password-protected Internet service, e.g. cast their vote by way of (electronic) postal vote, submit questions, or object to Annual General Meeting resolutions. Where a

shareholder authorizes a third party's attendance at the Annual General Meeting, Ascory Bank AG also processes the name and address of the proxy.

In these cases, the legal basis for the processing is the respective statutory rules in conjunction with Article 6(1)(c) GDPR. In addition, Ascory only uses its shareholders' data where the shareholders have given their consent (for example, for the use of electronic means of communication) or the processing serves the Company's legitimate interests (in particular, for the preparation of statistics, e.g., for the representation of shareholder evolution, number of transactions and overview of the largest shareholders). The legal basis for the processing of personal data in these cases is Article 6(1)(a) and (f) GDPR. Where Ascory wish to process personal data for a purpose not mentioned above, the shareholders will be informed in advance within the framework of the legal provisions.

### **Categories of recipients of your personal data**

Ascory Bank AG uses professional services of so-called processors. These are natural or legal persons, public authorities, institutions or other bodies that process personal data on the controller's behalf. Given that the selection of processors may change periodically, the following overview of potential recipients is categorized. Please contact the Company using the above contact details should you wish the full listing of processors at the time of personal data processing.

- **External service providers:** In some cases, external service providers (such as AGM service providers) are used to process the AGMs, which disseminate personal data exclusively on Ascory's behalf and in accordance with its instructions; and the external service providers are simultaneously contractually bound to the applicable data protection law in accordance with Article 28(3) GDPR.
- **Additional recipients:** Personal data may also be transmitted to additional recipients, such as public authorities for the fulfilment of legal notification obligations.

### **Retention periods**

Personal data will be erased once it is no longer required for the above-mentioned purposes. In this context, personal data may be retained for the period during which claims can be asserted against our company (statutory prescription period of three to thirty years). The Company also stores personal data where there is a legal obligation to do so. Corresponding obligations to provide evidence and to retain records arise, inter alia, under the German Companies Act, the German Commercial Code, the German Tax Code and the German Money Laundering Act. The retention periods will then be up to ten years.

### **Transmission of your data to non-EU countries**

Personal data shall only be transferred to service providers outside the European Economic Area (EEA) on condition that the third country has been confirmed by the EU Commission to have an adequate level of data protection or that other appropriate data protection guarantees are in place (e.g. binding internal company data protection regulations or acceptance of the EU Commission's standard contractual clauses). No personal data is currently transferred to service providers in the US.

### **Data subject rights**

Affected shareholders have the right to request information about their stored personal data. Furthermore, under certain conditions, shareholders may also request a rectification or erasure of their data as well as a restriction of processing. In certain circumstances, shareholders also have the right to object to the processing of their data or to request that certain personal data be transferred to them or to a third party. Shareholders may withdraw any consent they may have given to the processing of personal data at any time. Shareholders should use the above contact details to exercise these rights.

## Use of cookies

When shareholders use the password-protected Internet service, the Company's IT service provider will log the following data and device information in the web server log files, which are never merged with other stored customer or profile data:

- Data retrieved or requested;
- Date and time of the access;
- Message whether the retrieval was successful
- Type of web browser and operating system used
- IP address
- Access data (e.g. access ID) and session ID;
- Login and password reset
- Acknowledgement and acceptance of the terms of use

Ascory uses the latest security standard (256-bit encryption). Data is encrypted directly during transmission, and all information relevant to data protection is stored in encrypted form in a protected database. To manage access, only technical cookies mandatory for a website's functions are used:

— JSESSIONID – session – is deleted after the session's proper termination;

## Data protection officer and right to object

Ascory Bank AG's data protection officer is:

Email: [dsb-kunden@ibs-data-protection.de](mailto:dsb-kunden@ibs-data-protection.de)  
Tel.: +49 40-540 90 97 80

Without prejudice to any other administrative or judicial remedy, you have the right to lodge a complaint with a supervisory authority, in particular in the Member State of your habitual residence, your place of work or the place of the alleged infringement, if you believe that the processing of the personal data concerning you infringes the GDPR.

The supervisory authority with which the complaint has been lodged shall inform the complainant on the progress and the outcome of the complaint including the possibility of a judicial remedy pursuant to Article 78 GDPR. The data protection supervisory authority with jurisdiction over the Company's registered office is:

The Hamburg Commissioner for Data Protection and Freedom of Information  
Ludwig-Erhard-Str 22, 7. Floor  
20459 Hamburg  
Tel.: +49 40 / 428 54 - 4040  
Fax: +49 40 / 428 54 - 4000  
Email: [mailbox@datenschutz.hamburg.de](mailto:mailbox@datenschutz.hamburg.de)