



EFFECTA COMPLIANCE MIDDLE EAST LIMITED

PRIVACY POLICY

Owner	Data Protection Officer	Approved by	Board of Directors
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For internal Use Only

PRIVACY POLICY

REGISTER OF AMENDMENTS

Amendment Number	Date of Amendment	Sections Amended	Description
1	01 September 2022	All	New Document
2	12 May 2023	All	Updated
3	23 October 2023	All	Updated
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PRIVACY POLICY

1. INTRODUCTION

- 1.1 Effecta Compliance Middle East Limited (“Effecta”, “we”, “us”, “our”), in the ordinary course of business, will collect, use, and share personal information pertaining to its partners, employees, clients and others. Obtaining this information is important to our ability to conduct our operations and to deliver the highest level of service, but we also recognise that you expect us to treat this information appropriately.
- 1.2 This Privacy Policy describes the types of personal information that Effecta may collect about you in compliance with applicable legal and regulatory requirements, the purposes for which we use the information, the circumstances in which we may share the information and the steps that we take to safeguard the information to protect your privacy.
- 1.3 We will use the personally identifiable information we collect about you to communicate with you with regards to your enquiry, to carry out our engagement with you, or to send you information about firm events or publications. The data we hold is kept securely and only accessed by authorised personnel. The data gathered will also be shared appropriately between our offices in London and the UAE.
- 1.4 Other than to the extent permitted by law, we will not share, or otherwise disclose any of the information we collect about you without your permission. We may also share personal data, with your permission, to processors who act on our behalf as per our engagement with you, the details of which are enclosed in our contract. We will never sell your personal data.
- 1.5 We may revise this policy or any part of it at any time. We suggest you review the policy periodically for changes. If you no longer wish us to hold data about you or wish to change the type of information we send to you, please contact us.
- 1.6 Our website is owned and managed by Effecta Compliance Middle East Limited.
- 1.7 Effecta Compliance has a recruitment arm of the business under the name of ArcExec. Arc Exec provides recruitment services within the Finance and Legal Services industry. Specific details relating the ArcExec section of the business, and the associated Data Privacy Notice can be accessed at www.arcexec.com .

2. Privacy Notice

- 2.1 This Privacy Notice explains how Effecta, in the ordinary course of business will collect, use, and share personal data pertaining to its partners, employees, clients and those who show an interest in our services and our publications. We will handle any personal data in accordance with applicable data privacy laws and regulations relevant to your

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jurisdiction, such as the Data Protection Law, DIFC Law No.5 of 2020 (“DPL”), and General Data Protection Regulation (“GDPR”), collectively referred to here as DP Law.

- 2.2 We may provide supplemental privacy notices on specific occasions when we are collecting or processing personal data about you so that you are fully aware of how and why we are using your personal data. Those supplemental notices should be read together with this Privacy Notice.

3. Effecta Compliance Middle East Limited

- 3.1 This Privacy Notice is issued on behalf of Effecta Compliance Middle East Limited as data controller of your Personal Data.

4. Personal Data

- 4.1 The term “Personal Data” as used in this Privacy Notice means any information relating to you. Depending on the nature of your relationship with us, the types of personal data we collect may include:

- (a) Your identity (your full name, previous names, evidence of change of name); gender, date of birth, social media URL, passport/work permit/visa sponsorship/Emirates ID,
- (b) contact details including your name, personal email, home address and phone numbers so that we can contact you by email and text message,
- (c) details of your professional qualifications, skills, experience, and training,
- (d) current and desired remuneration/compensation and other benefits,
- (e) educational history,
- (f) employment history,
- (g) contact details for employment and/or educational referees,
- (h) employment and/or educational references,
- (i) health/disability data and other information contained in your CV and/or that you choose to provide to us, and it is relevant,
- (j) your feedback and responses to surveys and questionnaires,
- (k) technical data including internet protocol (IP) address, your login data, browser type and version, time zone setting and location, browser plug-in types and versions, operating system and platform and other technology on the devices you use to access this Site and if you visit other websites employing our cookies,

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- (l) profile data including your username and password, your interests, and preferences,
- (m) usage data including information about how you use our Site and services; and
- (n) marketing and communications data including your marketing and communication preferences.

Personal Data does not include data from which you can no longer be identified such as anonymised aggregate data.

5. Why we process your personal data

- 5.1 We will use your Personal Data to deliver corporate and compliance consultancy services and associated training to the institution you work or act for. We may also use your Personal Data to inform you about our services, new regulatory developments in the jurisdictions we act and our marketing events.
- 5.2 If you are a client or a supplier of goods and services, we will collect and process personal data about individuals in your organisation. We may enter the individual's name, business email, business address and other business data, into our database as a designated business contact for the organisation, for the purposes of contacting the organisation in relation to our services, or the supplier if we are a recipient of the supplier's goods and services. The source of business contact data may be the individual themselves, or their name and business details may be provided to us by a member of the organisation's HR or procurement department or an existing business contact at the organisation. We may also obtain limited data from websites, social media, and other public sources. We may send business email marketing to business contacts. A business contact can ask us at any time to stop sending business email marketing to their business email by contacting: info@effectacompliance.com.

6. The lawful basis for processing your personal data

- 6.1 We will process your Personal Data only to an extent necessary, and where one of the following lawful basis exists under applicable law:
 - (a) if you have consented to us doing so,
 - (b) if processing is necessary for the performance of a contract to which you are party, or we need to take steps at your request before entering into a contract with you,
 - (c) processing is necessary for us to comply with our legal and regulatory obligations; or
 - (d) processing is necessary for the purpose of the legitimate interest of us (or a third party) unless such interests are overridden by the interests or rights of you as the Data Subject.
- 6.2 Please note that we may use or disclose Personal Data if we are required by law to do so or if we reasonably believe that use or disclosure is necessary to protect our rights

and/or to comply with judicial or regulatory proceedings, a court order or other legal process.

7. What we may need from you

- 7.1 We may need to request specific information from you to help us confirm your identity and ensure your right to access Personal Data (or to exercise any of your other rights). This is another appropriate security measure to ensure that Personal Data is not disclosed to any person who has no right to receive it.

8. Special Categories of Personal Data

- 8.1 If you provide details revealing or concerning (directly or indirectly) racial or ethnic origin, communal origin, political affiliations or opinions, religious or philosophical beliefs, criminal record, trade union membership and health or sex life and including genetic data and biometric data where it is used for the purpose of uniquely identifying you, we will process this data only to the extent that it is necessary and relevant. Special categories of personal data will be processed in accordance with the restrictions imposed by law and will be retained for no longer than necessary before being deleted. If you choose to provide us with special categories of personal data (e.g. in your CV) and we do not need it, we will disregard this data.

- 8.2 As a Data Subject linked to a Client, Business Partner, or Supplier, to ensure that Special Categories of Personal Data are processed only in accordance with restrictions imposed by law, we will only process Special Categories of Personal Data where the following legal basis applies:

- Processing is necessary to comply with Applicable Law that applies to us as a Data Controller in relation to anti-money laundering or counter-terrorist financing obligations or the prevention, detection, or prosecution of any crime.

- 8.3 In relation to Employees of Effecta, we will only process Special Categories of Personal Data where one or more of the following legal basis apply:

- Processing is necessary for the purpose of carrying out our obligations and exercising our rights as a Controller in the context of a Data Subject's employment. This is not necessarily limited to recruitment, and can for example include visa and work permit processing and health insurance applications,
- Processing is necessary for compliance with a specific requirement of Applicable Law to which we are subject. In this instance, the Data Subject will be given notice of such processing; or
- Processing is necessary to comply with Applicable Law that applies to us as a Data Controller in relation to anti-money laundering or counter-terrorist financing obligations or the prevention, detection, or prosecution of any crime.

9. Accuracy of information

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- 9.1 It is important that the Personal Data we hold about you is accurate and current. Please let us know if your Personal Data changes during your relationship with us.

10. What if you do not provide the personal data we request?

- 10.1 It is in your sole discretion to provide Personal Data to us. If you do not provide us with all or some of the Personal Data we request, we may not be able to send you any publications or marketing information about services we believe may be of interest to you.

11. Change of purpose, anonymisation

- 11.1 We will only use your Personal Data for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason which is compatible with the original purpose. If we need to use your Personal Data for an unrelated purpose, we will notify you and we will explain the legal basis which allows us to do so.
- 11.2 In some circumstances, we may anonymise your Personal Data so that it can no longer be associated with you, in which case it is no longer Personal Data.

12. Sharing your information

- 12.1 When using your Personal Data for the purposes, we may share your Personal Data with our other Effecta offices as well as service providers we work with. We may also have to share your Personal Data with regulators, law enforcement agencies and other bodies discharging a public function. If we need to use your personal data for an unrelated or new purpose, we will notify you including the legal basis which allows us to do so.

13. Disclosing your Personal Data to third parties

- 13.1 To the extent necessary or appropriate and without notifying you, we may disclose your personal data to external third parties in the following circumstances:
- (a) to companies and individuals, we engage to perform business functions and services on our behalf. Examples of service providers include: providing payroll services to enable us to pay our employees; data storage facilities including inside and outside of the DIFC, Europe, UK, US and the Cloud; hosting our Web servers; providers of data analysis services, data analytics and producing statistics and for legal, accounting, audit and other professional services;
 - (b) to government agencies; law enforcement agencies; regulatory and supervisory authorities (such as the Commissioner of Data Protection);
 - (c) to third parties to whom we may choose to sell, transfer, or merge parts of our business or our assets. Alternatively, we may seek to acquire other businesses or merge with

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them. If a change happens to our business, we will let you know; and

(d) to IT consultants carrying out maintenance, testing and development work on our IT systems, service providers who we may appoint as data processors and to other service providers from time to time.

13.2 Where applicable, we will impose appropriate contractual security, confidentiality, and other obligations on third party service providers and our appointed data processors, based on the nature of the personal data to be protected and the services they provide to us. We will only permit them to process your personal data in accordance with the law and our instructions. We do not allow third party processors to use your personal data for their own purposes, they will be required to hold your personal data securely and when our relationship ends, we will ensure your personal data is retained for the period we instruct, securely returned to us, destroyed or anonymised so that you can no longer be identified.

13.3 Your personal data may be made available to the courts, government departments, appropriate regulatory authorities and other third parties inside or outside the DIFC in order to comply with applicable laws, the service of legal process, or if we reasonably believe that such action is necessary to: (a) comply with the law requiring such disclosure; (b) prevent crime, protect national security or for fraud detection and prevention; and/or (c) protect the personal safety of individuals using our Site or members of the public. We may process your personal data without your knowledge or consent in compliance with the above rules, where this is required or permitted by applicable law. In circumstances where third parties are controllers, they will be responsible for processing your personal data for their purposes and we may not be able to impose obligations or restrictions in connection with how they process your personal data (e.g. government and law enforcement agencies).

14. Data Export and Sharing

14.1 In the ordinary course of business, we will export / transfer Personal Data to jurisdictions outside of DIFC. This will occur in two circumstances:

(a) The servers and cloud storage of IT Service Providers and Business Partners are based in jurisdictions outside of DIFC. For example, Microsoft Software and World-Check One screening platform; and

(b) Sharing Personal Data relating to Clients, Business Partners, Suppliers and Employees within the Effecta Group of companies.

14.2 Some jurisdictions are deemed by DIFC not to provide an adequate level of protection for Personal Data. This means that there is a higher risk in transferring personal data to such jurisdictions. Increased risk stems from jurisdictions not having in place appropriate safeguards, such as enforceable Data Subject rights and effective legal remedies for Data Subjects.

14.3 Where Personal Data is exported or shared with IT service providers, we will ensure that

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Data Processing Agreements (“DPAs”) are executed with the respective IT service provider. We will ensure that the DPA contains standard data protection clauses (“SCCs”) which meet regulatory standards as approved by the DIFC Commissioner of Data Protection. The SCCs ensure a commitment to the implementation of appropriate physical, technical, and organisational measures to protect personal data from unauthorised access, use, or disclosure. Information security measures might include encryption, token authentication, firewalls, and password protection. Such an approach is considered an appropriate safeguard for Data Subjects under DP Law.

- 14.4 In instances where we share Personal Data within the Effecta Compliance Group of companies, Data Protection Standards equivalent to DP Law apply, and as such, afford Data Subjects with the appropriate level of protection.

15. Your rights in relation to your information

- 15.1 You have the following rights under DP Law:

- (a) to withdraw consent at any time, where the basis for processing your personal data is consent. This will not affect the lawfulness of any processing carried out before you withdraw your consent. If you withdraw your consent, we may not be able to provide certain services to you and we advise you of this at the time,
- (b) to request access to, rectification of, and erasure of your personal data we hold,
- (c) to object to processing of personal data on reasonable grounds relating to your situation and in relation to direct marketing,
- (d) to object to any decision based solely on automated processing including profiling which produces legal consequences concerning you or other seriously impactful consequences and to require such a decision to be reviewed manually,
- (e) to exercise these rights without discrimination; and
- (f) to Data Portability of your personal data to another controller.

- 15.2 If you are based within the EEA, you have rights as an individual which you can exercise under certain circumstances in relation to your Personal Data that we hold. These rights are to:

- (a) request access to your Personal Data (commonly known as a “data subject access request”) and request certain information in relation to its processing,
- (b) request rectification of your Personal Data,
- (c) request the erasure of your Personal Data,
- (d) request the restriction of processing of your Personal Data; and
- (e) object to the processing of your Personal Data – right to data portability.

- 15.3 You can exercise any of your legal rights by contacting us at info@effectcompliance.com,

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or at the respective office:

London Office - +44 (0) 020 3060 8830

Dubai Office - +971 (0) 4 382 6300

- 15.4 If you believe your data is being processed contrary to the Applicable Law and this privacy notice, you have the right to make a complaint at any time to relevant data protection office as listed below:

UK Data Protection Office (ICO)
Information Commissioner's Office
Wycliffe House Water Lane
Wilmslow
Cheshire
SK9 5AF

+44 (0) 303 123 1113
icocasework@ico.org.uk

DIFC Data Protection Office
Dubai International Financial Centre
Authority Level 14, The Gate Building
DIFC, UAE

+971 4 362 2222
commissioner@dp.difc.ae

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16. Additional Information, Response Times, and Fees

- 16.1 We want to ensure that we keep your personal data accurate and up to date. In addition to your legal rights, you may ask us to update your personal data or request a copy of your personal data at any time by contacting us via the contact details provided in this notice. We may need to request specific information from you to help us confirm your identity before we can respond to your request. If you are making a request on behalf of someone else, then we will ask for information to satisfy us of your identity and for information to show you have authority to act on someone else's behalf. This is a security measure to ensure that personal data is not accessed or disclosed to any person other than the individual who has the right to the data. We may also contact you to ask you for further information in relation to your request to help us locate personal data we hold, and to speed up our response time.
- 16.2 We respond to all legitimate requests within one month unless your request is complex or you have made a number of requests and in this case, we may extend the period by a further two months. In this instance, we will notify you.
- 16.3 You will not have to pay a fee to exercise any of these rights. However, we may charge a reasonable fee if your request is unfounded, repetitive, or excessive. Alternatively, we may refuse to comply with your request in these circumstances.

17. Retention of your Personal Data

- 17.1 We will only retain your Personal Data for as long as necessary to fulfil the purposes for which it was collected and processed. To determine the appropriate retention period for your Personal Data, we will consider the amount, nature, and sensitivity of the Personal Data, the potential risk of harm from unauthorised use or disclosure of your Personal Data, the purposes for which we process your Personal Data and whether we can achieve those purposes through other means, and the applicable legal requirements.
- 17.2 We may continue to retain some of your personal data for legal, compliance, accounting and tax purposes to keep basic information about our clients and customers (e.g. contracts, evidence of identity), financial and transaction data (e.g. payslips, invoices, receipts) for up to 6 years from when our relationship ends. The type of data we retain depends on the nature of our relationship with you and the services we have provided.
- 17.3 Upon expiry of the applicable retention period, we will securely destroy your Personal Data in accordance with applicable laws and regulations.

18. Keeping your Personal Data Secure

- 18.1 We have put in place appropriate technical and organisational security measures to

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protect personal data against accidental or unlawful destruction or accidental loss, alteration, unauthorised disclosure or access or other unlawful forms of processing. In addition, we limit access to personal data to those employees, contractors and third parties who have a business need to do so. We have put in place procedures in the event of a personal data breach, and we will notify you and the Commissioner (and, as applicable, other relevant supervisory authorities) of a breach when we are legally required to do so.

19. Cookies

19.1 Cookies are small text files that are stored in your computer's memory and hard drive, in your mobile device or tablet when you visit certain web pages. They are used to enable websites to function or to provide information to the owners of a website, or other third parties who receive data obtained from that website.

19.2 When you visit any web site, it may store or retrieve information on your browser, mostly in the form of cookies. This information might be about you, your preferences or your device and is mostly used to make the site work as you expect it to. The information does not usually directly identify you, but it can give you a more personalised web experience.

19.3 Cookies help us to provide customised services and information. We use cookies on our website to tell us, in general terms, how and when pages in our Site are visited, what our users' technology preferences are – such as what type of video player they use – and whether our Site is functioning properly.

19.4 You can set your browser to refuse all or some browser cookies, or to alert you when websites set or access cookies. If you disable or refuse cookies, please note that some functions on our website may become inaccessible or not function properly.

20. Links to Other Websites

20.1 Our site may include links to third party websites, plug-ins, and applications. Clicking on those links or enabling those connections may allow third parties to collect or share data about you. We do not control these third-party websites and are not responsible for their privacy statements.

21. Marketing Messages

18.2 We will ask you for consent to send you direct marketing communications via email. If you are a business contact, you may receive email marketing communications from us even if you have not given us consent, as we rely on legitimate interests.

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- 18.3 You may receive email marketing messages from us if you provided us with your details at a promotional or networking event or attended a training course and you have given us consent to send you marketing. If you give us consent, we may also use your identity, contact details, technical data, usage data and profile data to form a view and decide which services may be of interest or relevant for you. You have the right to withdraw your consent to marketing at anytime.
- 18.4 Opting out and 'unsubscribe' from email marketing messages does not apply to personal data that you have provided to us in connection with the performance of a contract between us. We will never sell or disclose your personal data to any third parties to use for marketing.

22. Changes to this privacy policy

- 22.1 We reserve the right to update this privacy policy at any time, and we will make an updated copy of such privacy notice available on our website. Changes will be effective on the day they are posted.

23. Further information

- 23.1 If you have any concerns or require any further information, please do not hesitate to contact us on info@effectacompliance.com.