



TradingHub

Candidate Privacy Notice

US

November 2021/ Version 1.1



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United States

TradingHub International LLC

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Date	User	Description of changes
July 2020	Legal	The US Candidate Privacy Notice was newly created.
November 2021	Legal	Various amends were made to the US Candidate Privacy Notice including: <ul style="list-style-type: none"><li data-bbox="767 869 1334 936">(a) adding additional wording to Section 10 (Right to Withdraw Consent); and<li data-bbox="767 965 1342 1032">(b) making minor wording amendments to Section 12 (Contact).



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1. Introduction

TradingHub is committed to protecting the privacy and security of your personal information. This privacy notice describes how we collect and use personal information about you during and after your working relationship with us, in accordance with applicable privacy laws (“**Data Protection Law**”).

In respect of your personal information held by TradingHub, TradingHub is a “data controller”. This means that we are responsible for deciding how we hold and use personal information about you. You are being sent a copy of this privacy notice because you are applying to work for us (whether as an employee, worker or contractor). It makes you aware of how and why your personal data will be used, namely for the purposes of the recruitment exercise and how long it will usually be retained for.

Any definitions not set out herein will be as set out in the TradingHub Policy Definitions Schedule.

2. Personal Data we hold about you

“Personal data” or “personal information” means any information about an individual from which that person can be identified. It does not include anonymous data (where the identity has been removed).

In connection with your application for work with us, we may collect, store, and use the following, but not limited to, categories of personal information about you:

- personal contact details such as name, title, address, telephone number and personal email address as provided in your curriculum vitae and covering letter;
- recruitment information (including copies of right to work documentation and references);
- information you have provided on an application form including date of birth, gender, employment history, qualifications etc;
- any information you provide us during an interview; and
- CCTV footage and other information about access to our offices or systems obtained through electronic means (such as swipe card records).

We may also collect, store and use the following “special categories” of more sensitive personal information:

- information about your race or ethnicity, religious beliefs, sexual orientation and political opinions;
- information about your health, including any medical condition, health and sickness records; and



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- information about criminal convictions and offences.

We typically collect personal information about candidates through the following sources:

- you, the candidate, during the application and recruitment process;
- sometimes from an employment agency from which we collect the following categories of data: a curriculum vitae, agency candidate briefing notes, information you have provided on an application form including name, title, address, telephone number, personal email address, date of birth, gender, employment history, qualifications etc; and
- we may sometimes collect additional information from third parties including former named employers as referees where we collect your employment records, credit reference agencies or where we collect your available data on credit and other background check agencies (for example, disclosure and barring service in respect of criminal convictions).

3. How we use Information About You

Most commonly, we will use your personal information in the following circumstances:

- in assessing your skills, qualifications and suitability for the work or role as applicable;
- where we need to comply with a legal obligation; and
- in carrying out background and reference checks where applicable.

We may also use your personal information where we need to protect your interests (or someone else's interests) or where it is needed in the public interest, but these situations are likely to be rare.

The most common situations in which we will process personal information are listed below:

- making a decision about your recruitment or appointment;
- communicating with you about the recruitment process;
- keep records relating to our hiring process;
- comply with legal or regulatory requirements;
- determining the terms on which you work for us;



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- checking you are legally entitled to work in the US;
- business management and planning, including accounting and auditing;
- paying you and, if you are an employee, deducting tax and Social Security contributions;
- providing employment benefits to you;
- administering the contract we have entered into with you;
- making decisions about your engagement;
- making decisions about salary reviews and compensation;
- assessing qualifications for a particular job or task, including decisions about promotions;
- education, training and development requirements;
- ascertaining your fitness to work;
- to prevent fraud; and
- equal opportunities monitoring.

Some of the above grounds for processing will overlap and there may be several grounds which relate to our use of your personal information. We will use your personal information for the purposes for which we collected it, unless we reasonably consider that we need to use it for another purpose which we believe is compatible with the original purpose.

Please note that we may process your personal information without your knowledge or consent, in compliance with the above rules, where this is required or permitted by law.

Having received your CV and covering letter or your application form, and the results from any test which we may ask you to take, we will then process that information to decide whether you meet the basic requirements to be shortlisted for the role. If you do, we will decide whether your application is strong enough to invite you for an interview. If we decide to call you for an interview, we will use the information you provide to us at the interview to decide whether to offer you the role or work. If we decide to offer you the role or work, we will then take up references and the appropriate criminal record and background checks.

If you fail to provide information when requested, which is necessary for us to consider your application (such as evidence of qualifications or work history), we will not be able to process your application successfully. For



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example, if we require a credit check or references for this role and you fail to provide us with relevant details, we will not be able to take your application further.

4. How we use Particularly Sensitive Personal Information

“Special categories” of particularly sensitive personal information require higher levels of protection. We may process special categories of personal information in the following circumstances:

- in limited circumstances, with your explicit written consent;
- where we need to carry out our legal obligations and in line with our internal data protection and/or information security policies;
- where it is needed in the public interest, such as for equal opportunities monitoring, and in line with our internal data protection policy;
- where it is needed to assess your working capacity on health grounds, subject to appropriate confidentiality safeguards;
- we will use information about your disability status to consider whether we need to provide appropriate adjustments during the recruitment process, for example whether adjustments need to be made during a test or interview;
- we will use information about your race or national or ethnic origin, religious, philosophical or moral beliefs, or your sexual life or sexual orientation, to ensure meaningful equal opportunity monitoring and reporting; and/or
- as otherwise permitted by applicable law.

5. Personal Data about Criminal Convictions

We may only use information relating to criminal convictions where the law allows us to do so. This will usually be where such processing is necessary to carry out our legal or regulatory obligations and will then be done in line with our data protection policy.

Less commonly, we may use information relating to criminal convictions where it is necessary in relation to legal claims, where it is necessary to protect your interests (or someone else’s interests) and you are not capable of giving your consent, or where you have already made the information public.



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6. Data Sharing

We may share your data with third parties where required by law, where we have another legitimate interest in doing so, such as determining whether to appoint you to the role you have applied for since it would be beneficial to TradingHub's business to appoint someone to that role, or as otherwise permitted by applicable law. For example, we may share your data with third party service providers such as other entities in the TradingHub group or pre-employment screening service providers.

All our third-party service providers and other entities in the group are required to take appropriate security measures to protect your personal information in line with our policies. We do not allow our third-party service providers to use your personal data for their own purposes. We only permit them to process your personal data for specified purposes and in accordance with our instructions.

We may transfer your personal information anywhere our service providers or other entities in the group have operations. This may include jurisdictions outside of your home country. If we do, you can expect a similar degree of protection in respect of your personal information.

7. Data Security

We have in place appropriate security measures to prevent your personal information from being accidentally lost, used or accessed in an unauthorised way, altered or disclosed. We limit access to your personal information to those employees, agents, contractors and other third parties who have a business need to know. They will only process your personal information on our instructions and they are subject to a duty of confidentiality.

We have put in place procedures to deal with any suspected data security breach and will notify you and any applicable regulator of a suspected breach where we are legally required to do so.

8. Data Retention

We will only retain your personal information for as long as necessary to fulfil the purposes for which we collected it, including for the purposes of satisfying any legal, regulatory, accounting, or reporting requirements or as otherwise permitted by applicable law. We retain your personal information so that we can show, in the event of a legal claim, that we have not discriminated against candidates on prohibited grounds and that we have conducted the recruitment exercise in a fair and transparent way. To determine the appropriate retention period for personal data, we 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



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and whether we can achieve those purposes through other means, and the applicable legal requirements. After such period, we will securely destroy your personal information in accordance with our data retention guidelines.

If we wish to retain your personal information on file, on the basis that a further opportunity may arise in the future and we may wish to consider you for that, we will write to you separately, seeking your consent to retain your personal information for a fixed period on that basis.

9. Requests for Correction, Erasure and Restriction

Under certain circumstances, you may:

- request correction of the personal information that we hold about you, which enables you to have any incomplete or inaccurate information we hold about you corrected;
- request the erasure of your personal information where there is no good reason for us continuing to process it. You also have the right to ask us to stop processing personal information where we are relying on a legitimate interest and there is something about your particular situation which makes you want to object to processing on this ground;
- request the restriction of processing of your personal information, which enables you to ask us to suspend the processing of personal information about you, for example if you want us to establish its accuracy or the reason for processing it; and
- request the transfer of your personal information to another party.

If you want to review, verify, correct or request erasure of your personal information, object to the processing of your personal data, or request that we transfer a copy of your personal information to another party, please contact the DPO in writing (contact details below). We will respond to your request consistent with applicable laws. You will not have to pay a fee to make such requests. However, we may charge a reasonable fee if your request is clearly unfounded or excessive. Alternatively, we may refuse to comply with the request in such circumstances.

We may need to request specific information from you to help us confirm your identity and ensure your right to make such requests. This is another appropriate security measure to ensure that personal information is not disclosed to any person who has no right to receive it.

Please note that if you withdraw consent for us to process your personal information, then we may be unable to progress your application further.



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10. Right to Withdraw Consent

To the extent we are processing your personal information on the basis of your consent, you have the right to withdraw your consent for processing for that purpose at any time. To withdraw your consent, please contact the DPO. Once we have received notification that you have withdrawn your consent, we will no longer process your information for the purpose or purposes you originally agreed to, unless we have another legitimate basis for doing so in law.

11. Diversity

TradingHub is an equal opportunity employer, which means we offer equal treatment to all applicants. TradingHub does not discriminate, either directly or indirectly, on protected grounds: race, colour, sex, gender identity, sexual orientation, nationality, national origin, ethnic origin, religion, beliefs or creed, age, disability, marital status, veteran status or genetic information in any area of recruitment.

12. Contact

We have appointed a DPO to oversee compliance with this privacy notice. The DPO can be contacted if you have any questions about this privacy notice or how we handle your personal information. The DPO can be contacted at privacy@tradinghub.com or by mail to its registered office address.

You have the right to make a complaint at any time to the local supervisory authority for data protection issues.

13. Changes to this Privacy Notice

We reserve the right to update this privacy notice at any time. We may also notify you in other ways from time to time about the processing of your personal information.