

PRIVACY POLICY

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1. INTRODUCTION

Basis Capital Markets UK Ltd. (“Basis” or “the Firm”) is committed to respecting and protecting the privacy rights of its clients, employees, and stakeholders. This Privacy Policy outlines the types of personal data the Firm collects, the purposes for which it is processed, and the safeguards in place to ensure its lawful and transparent use. Please take a moment to familiarise yourself with the Firm’s privacy practices. If you have any questions, contact your line manager or submit a request via the Firm’s website.

2. COLLECTION AND USE OF YOUR PERSONAL INFORMATION

Basis collects personal information that you voluntarily provide via this website or through offline interactions, including in connection with account applications. This may include your name, address, email address, contact details, and other relevant identifiers.

Please do not submit personal information about others unless you are authorised to do so and have obtained their consent for the information to be used, disclosed, and transferred in accordance with this Privacy Policy. By providing such information, you represent and warrant that you are authorised and that the individual has consented to the processing described herein.

Basis processes personal information for carefully considered business purposes, which may include:

- Communicating with you
- Providing services and products
- Improving and developing services and products
- Supporting services and products, including internal quality control
- Offering promotions or updates about Basis or third-party offerings
- Enhancing your website experience, including saving preferences and login credentials
- Analysing website usage and performance
- Protecting the rights, interests, and safety of Basis
- Monitoring compliance and enforcing contractual terms
- Operating services, products, and systems effectively

3. USE OF COOKIES AND OTHER ELECTRONIC TOOLS

Basis and its service providers or business partners may use cookies, web server logs, web beacons, and other electronic tools to collect statistical and usage-related information about your interactions with this website and other websites. These tools may be used for purposes including:

- Research and analysis
- Improving website functionality and user experience
- Compiling aggregate and anonymised usage statistics
- Supporting promotional and marketing activities
- Enhancing service delivery and operational performance

Information collected may be used by Basis or by third parties, either on behalf of the Firm or for their own purposes. Where permitted, such data may be aggregated, analysed, or combined with other personal or non-personal information from online or offline sources.

If you prefer not to have non-personal information collected via cookies combined with personal data, you should delete and disable cookies on each browser and device you use. Most browsers are set to accept cookies by default. Still, you can configure your browser to alert you when cookies are being sent, disable cookies entirely, or prevent the collection of geo-location data. Mobile devices typically offer similar controls.

Please note that disabling cookies may affect the functionality of certain website features, including login areas, surveys, polls, contests, and product-related services. Depending on your jurisdiction, additional cookie management tools may be available.

4. DISCLOSURE OF YOUR PERSONAL INFORMATION

Basis may share your personal information with its affiliates, including affiliated websites under common ownership and control, and with designated service providers for the purposes outlined in this Privacy Policy.

The Firm may also disclose personal information to unaffiliated third parties where it believes, in good faith, that such disclosure is necessary to:

- Comply with applicable laws, regulations, or legal processes (including subpoenas, court orders, or requests under Basis's Law Enforcement Data Request Statement)
- Protect the rights, interests, safety, or property of Basis or others
- Monitor compliance with and enforce the terms of service applicable to this website
- Deliver services and products, including in the event of a sale or restructuring of Basis or any of its divisions
- Support related operational activities, including billing and collections
- Provide offers or promotions from Basis
- Operate the systems that support our services and products effectively

Please note that the collection, further use, and/or disclosure of your personal information by third-party providers or other external parties is governed by their respective privacy policies. Basis is not responsible for the data handling practices of such third parties.

5. ACCURACY, SECURITY, AND RETENTION OF YOUR PERSONAL INFORMATION

Basis takes appropriate steps to ensure that personal information is accurate, up to date, and securely maintained. Information you provide is stored on secure servers, and the Firm applies administrative, technical, personnel, and physical safeguards appropriate to the nature of the services offered. These measures are designed to:

- protect personal information against loss, theft, unauthorised access, disclosure, or alteration; and
- preserve the integrity and confidentiality of the data.

To help protect your privacy, you are responsible for maintaining the confidentiality of any login credentials associated with your use of the Firm's services.

Personal information is retained only for as long as necessary to fulfil the purposes for which it was collected, including legitimate business needs and compliance with legal or regulatory obligations.

6. RIGHTS WITH RESPECT TO YOUR PERSONAL INFORMATION

Depending on your jurisdiction, you may have certain rights under applicable data protection laws, including the UK General Data Protection Regulation (UK GDPR). These rights may include the ability to:

- Access your personal information
- Request corrections to inaccurate or incomplete data
- Request deletion of personal information
- Restrict or object to the processing of personal information
- Withdraw consent where processing is based on consent
- Request that the Firm refrain from certain types of processing

Please note that exercising these rights may affect the Firm's ability to provide certain products or services. Basis will make reasonable efforts to accommodate such requests, subject to applicable legal and regulatory requirements. Processing your request may take time, consistent with applicable law.

7. TRANSFER OF YOUR PERSONAL INFORMATION TO OTHER COUNTRIES

Some of the uses and disclosures described in this Privacy Policy may involve the transfer and processing of your personal information to countries outside the United Kingdom. These jurisdictions may have different levels of data protection than those applicable in your home country.

Where such transfers occur, Basis ensures that appropriate safeguards are in place to protect your personal information, in accordance with applicable data protection laws. By using the Firm's products and services, you consent to the transfer and processing of your personal information, including to and within the United Kingdom.

8. LINKS TO THIRD-PARTY WEBSITES

This website and other communications from Basis may contain links to third-party websites, including social media platforms and other external resources. These websites operate independently and are not controlled by the Firm. As such, it is not responsible for the content, privacy practices, or data handling policies of any third-party sites.

We strongly encourage you to review the privacy policies of any external websites before submitting personal information, as their practices may differ from those of the Firm.

9. QUESTIONS

For further information regarding this Privacy Policy, please contact us using one of the following methods:

By Email:

compliance@basiscap.com

By Post:

Basis Capital Markets UK Ltd.
70 Pall Mall, 3rd Floor
London, SW1Y 5JG
United Kingdom

10. COMPLAINTS

If you believe that Basis has not complied with its obligations under applicable data protection laws, including the UK General Data Protection Regulation (UK GDPR), you have the right to lodge a complaint with the Information Commissioner's Office (ICO), the UK supervisory authority for data protection.

Further information on how to raise a concern is available at www.ico.org.uk.

11. MODIFICATIONS

Basis reserves the right to amend this Privacy Policy at any time. Any updates will be published on this webpage and will take effect upon posting. We encourage you to review this Policy periodically to remain informed about how your personal data is handled.
