



# **MHI External Privacy Notice**

**January 2021**

**Mizuho International** plc (DIFC)

Unit 501

Level 5

Gate Building DIFC

Dubai

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# 1 Introduction

## 1.1 Definitions, Acronyms and Abbreviations

The following acronyms and abbreviations are used throughout this document:

Affiliate	An entity owned by the Mizuho Financial Group, Inc.
MHI	Mizuho International plc (DIFC)
Personal Data	<p>any information relating to an identified or identifiable natural person; an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier including, but not limited to:</p> <ul style="list-style-type: none"> <li>• A Name (first name, last name, alias);</li> <li>• An identification number ( including, but not limited to, passport number, employee number or driving license number);</li> <li>• An online identifier;</li> <li>• Location data (home or work addresses);</li> <li>• Contact information (telephone numbers, email addresses);</li> <li>• Photographs and biometric data; and</li> <li>• one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.</li> </ul>
Staff	Refers to employees, temporary workers, contractors and 3 <sup>rd</sup> party consultants.

## 1.2 Purpose

For the purposes of applicable data protection law, being the Dubai International Finance Centre (“**DIFC**”) Data Protection Law No.5 of 2020 as supplemented by the Data Protection Regulations of the DIFC in force on 1 July 2020, in each case as may be amended or updated from time to time, together with any other applicable legislation relating to privacy or data protection (“**Data Protection Law**”), MHI is a data controller in respect of the Personal Data.

MHI is registered in the DIFC and its registered address is at Unit 501, Level 5, Gate Building, Dubai International Financial Centre, Dubai, United Arab Emirates (PO Box 507206) and its company registration number is 2679.

MHI may collect information about your employees, officers, directors, agents, contractors, consultants and other representatives or personnel related to you (“**Client Personnel**”) and the business you conduct with MHI, in physical and electronic form and will hold, use and otherwise process the data in accordance with Data Protection Law and this privacy notice.

This privacy notice sets out the basis on which any Personal Data that you provide to MHI, that MHI creates, or that MHI obtains about you from other sources<sup>1</sup>, will be processed by MHI. Please take the time to read and understand this privacy notice.

## 1.3 Types of Personal Data collected

MHI collects and processes the following Personal Data relating to the Client Personnel:

<sup>1</sup> Bankers Almanac, Commercial registries, Regulators’ websites, Company websites

- Contact details (including address, telephone numbers, email addresses);
- Individuals' names;
- Personal identifiers (including tax codes, national identification references, National Insurance numbers, bank account details and passport numbers);
- Photographs;
- Information about our business relationship with you;
- Professional information (including job title, role, department);
- Communication preferences (including preferred language);
- Vendor contact and sub-contractor details; and
- Data subject details associated with the author or modifier of electronic records.

## 1.4 Purpose of Processing the Personal Data

The Personal Data may be stored and processed by MHI in the following ways and for the following purposes (which include, but are not limited to,):

- Allowing MHI to provide services to you;
- Marketing or promoting MHI and its services;
- Backup retention and management supporting business continuity;
- Contacting you as part of the conduct of normal business;
- Providing an audit trail relating to the conduct of normal business; and
- For operation and maintenance purposes, IT applications and infrastructure.

MHI is entitled to use the Personal Data in these ways, in compliance with Data Protection Law, by relying on one or more of the following lawful grounds:

- processing is necessary for the performance of MHI's obligations under its contract with you (otherwise MHI may not be able to fulfil its obligations and provide services to you);
- MHI has legal and regulatory obligations that it has to discharge; or
- the use of the Personal Data as described is necessary for MHI's legitimate business interests (or the legitimate interests of one or more of the Affiliates), such as:

- Accounting;
- Book Maintenance;
- Change Management;
- Collateral Management and Treasury operations;
- Communications (telephones, intranet, internet, emails);
- Compliance checks and conflict monitoring;
- Data Management and Governance;
- Enterprise Collaboration and Mobility
- Accounts Payable processing;
- Fraud prevention;
- Information Security management and administration;
- Legal management;
- Purchasing and procurement;
- Regulatory monitoring and administration;
- Regulatory reporting;
- Risk Management;
- Risk Management and Reporting;
- Sales and Trading and Order Management;
- Sales Credit and Commission Management Reporting;
- Sanctions, KYC and AML screening;
- Trade Affirmation and Clearing;

- Travel and Entertainment; and
- User access verification.

We do not carry out automated decision-making or profiling in relation to your Client Personnel Personal Data.

If you fail to provide us with the information set out above, or you or your Client Personnel object to us processing such information (more information about the rights of data subjects is set out below) we may be prevented from conducting business with you.

## 1.5 Third party recipients of Personal Data

MHI may disclose the Personal Data to its Affiliates. MHI will take steps to ensure that the Personal Data is accessed only by staff of such Affiliates that have a need to do so for the purposes described in this privacy notice and that any disclosure is, at all times, in compliance with Data Protection Law.

MHI may also share the Personal Data with third parties outside of MHI and its Affiliates in order to be able to service you to the best of our ability. We therefore may share the Personal Data:

- with MHI vendors and market participants;
- if MHI sells any of its business or assets, with the prospective buyer for due diligence purposes;
- if MHI is acquired by a third party, with the third party buyer;
- to third party agents or contractors for the purposes of providing services to MHI. These third parties will be subject to confidentiality requirements and they will only use the Personal Data as described in this privacy notice; and
- to the extent required by law, for example if MHI is under a duty to disclose the Personal Data in order to comply with any legal obligation, establish, exercise or defend its legal rights.

### 1.5.1 Transfer of Personal Data to a third country

The Personal Data that MHI collects from you may be transferred to, and stored at, a destination outside the DIFC. It may also be processed by staff operating outside of the DIFC who work for MHI's Affiliates or for one of MHI's suppliers.

Where the recipient is based in a country outside of the DIFC, such country may have differing (and potentially less stringent) laws relating to the degree of confidentiality afforded to the information it holds.

We may transfer the Personal Data outside of the DIFC where the transfer is to a country deemed to provide adequate protection of the Personal Data by the Commissioner for Data Protection.

If we transfer your information outside the DIFC to a country not deemed adequate, we will put in place appropriate safeguards to ensure that the Personal Data remains adequately protected such as putting in place the standard contractual clauses (template transfer clauses which the Commissioner of Data Protection has approved and published on the data protection section of the DIFC website ([dific.ae](http://dific.ae))).

In other circumstances, applicable law may permit MHI to otherwise transfer the Personal Data outside the DIFC. In all cases, however, MHI will ensure that any transfer of the Personal Data is compliant with Data Protection Law.

You can obtain more details of the protection given to the Personal Data when it is transferred outside the DIFC (including a copy of the relevant safeguards) by contacting MHI as set out in section 1.7.

### 1.5.2 Technical and organisational security measures

MHI ensures that suitable contractual arrangements are in place with third parties such that safeguards

equivalent to MHI's are in place for the processing of the Personal Data.

MHI has implemented generally accepted standards of technology and operational security to protect the Personal Data from loss, misuse, alteration or destruction. We will ensure that the collection and use of the Personal Data is in accordance with Data Protection Law. All personnel of MHI are required to keep Personal Data confidential.

### 1.5.3 Retention time

We will only keep the information we collect about your Client Personnel for as long as required to provide the services to you, to fulfil legal or contractual obligations to which MHI is subject, or for the purpose of MHI's ongoing business interests, in line with our Data Retention Policy.

## 1.6 The Rights of Data Subjects

Subject to applicable exemptions, your Client Personnel have the right, at any time:

- to obtain information regarding the processing of the Personal Data and access to the Personal Data which MHI holds;
- where consent was the basis for MHI processing the Client Personnel Personal Data, to withdraw your consent to MHI processing the Personal Data at any time;
- to receive some Personal Data in a structured, commonly used and machine-readable format and/or request that MHI transmits that Personal Data to a third party where this is technically feasible;
- to request that MHI rectifies the Personal Data if it is inaccurate or incomplete;
- to request that MHI erase the Personal Data;
- to object to, and the right to request that MHI restricts its processing of the Personal Data;
- ☐ not to be subject to a decision based on automated processing and to have safeguards put in place if you are being profiled based on the Personal Data;
- ☐ the right to lodge a complaint with the data protection regulator (details of which are provided below) if you think that any rights have been infringed by us; and
- ☐ to non-discrimination for exercising any of the above data subject rights.

You can exercise these rights by contacting MHI as detailed in section 1.7. You can find out more information about your rights by contacting the Commissioner of Data Protection in the DIFC, which regulates and supervises the use of Personal Data in the DIFC, (via their helpline on +971 4 362 2222).

## 1.7 Contact

If you would like further information on the collection, use, disclosure, transfer or processing of the Personal Data or the exercise of any of the rights listed above, please address questions, comments and requests to:

Data Controller  
Unit 501 Level 5  
Gate Building  
DIFC  
Dubai  
United Arab Emirates (PO Box 507206)

**Contact email:** [datacontroller@uk.mizuho-sc.com](mailto:datacontroller@uk.mizuho-sc.com)

## **1.8 Changes to this privacy notice**

MHI reserves the right to make written changes to this privacy notice at any time. If we do this, we'll ensure that an updated version of this privacy notice is published.