



Information on the Joint Controllership within the meaning of Article 26 paragraph 2, 2nd sentence of the General Data Protection Regulation (GDPR) – English Version

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Provided by

Mizuho Bank, Ltd. Filiale Düsseldorf
Benrather Straße 18 -20
40213 Düsseldorf

(“MHBK“)

And;

Mizuho Securities Europe GmbH
Taunustor 1
60310 Frankfurt am Main

(“MHEU“)

MHBK and MHEU are jointly referred to as the Parties and separately as a Party.

1. What is the reason for joint controllership?

In order to serve their clients better MHEU and MHBK entered into an agreement by which certain members of their staff (the “**Dual-Hat Staff**”) may represent the respective other entity's services to certain clients and prospective clients (the “**Cooperation**”). Such Cooperation may also affect your personal data. For the purpose of the Cooperation the Parties have jointly determined how to process personal data resulting from the Cooperation. They are therefore jointly responsible for the protection of your personal data in scope of the Cooperation within the meaning of Article 26 GDPR.

2. What is in scope of the joint controllership?

Your contact data that you provided to the Dual-Hat Staff will, in case that you declare to be interested in the respective other entity's services, be administered by both Parties in order to be able to offer you the services of the respective other Party. The Parties will use for such administration customer relationship management software such as Salesforce; client-server software platforms such as IBM Notes and Microsoft Office 365; and selected applications and software for ensuring that related business processes conform to regulatory requirements (the “**Systems**”) which are operated by either Party or, as the case may be, have a shared access with access rights limited to the purposes of the Cooperation.



3. What did the Parties agree?

As part of their joint controllership under data protection law, the Parties have agreed which of them will fulfil which obligations under GDPR. This relates in particular to the exercise of the rights of the data subjects and the fulfilment of the information obligations under Articles 13 and 14 GDPR. Such agreement is necessary because in the Systems personal data are processed by either MHBK or MHEU.

4. What does this mean for the data subjects?

Even if there is a joint controllership, the parties fulfil the data protection obligations in accordance with their respective responsibilities for the individual process stages as follows:

Within the scope of the joint controllership, MHBK is responsible for the processing of the personal data in their Systems; and MHEU is responsible for the processing of personal data in their Systems.

Both make the information required under Articles 13 and 14 of the GDPR available to data subjects free of charge in a precise, transparent, comprehensible and easily accessible form in clear and simple language. Each party shall provide the other party with all necessary information from its sphere of activity.

The Parties shall inform each other immediately of any legal positions asserted by the data subjects. They shall provide each other with all the information necessary to respond to requests for information.

Data protection rights can be asserted with both Parties. In principle, data subjects receive the information from the Party from which rights have been asserted.

5. Data protection officers and contact for data protection issues

MHBK (“controller”):

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