

## **Mitsubishi UFJ Trust and Banking Corporation Personal Data Privacy Notice**

**(Statement for individuals  
who are owners and representatives of counterparts)**

This notice concerns how Mitsubishi UFJ Trust and Banking Corporation ("MUTB") processes (that is, collects, uses and discloses) the personal data of certain individuals as part of its business activities carried on from its branch in London, United Kingdom.

MUTB also trades under the group name "MUFG" and as a member of "MUFG Investor Services".

This privacy notice is published on 1 October 2021. It may be changed from time to time and is not intended to create a legal relationship in contract.

A separate privacy notice applies to MUTB's employees, applicants for employment and pensioners.

### ***Individuals affected by this notice***

1. This notice concerns Owners and Representatives of Counterparts, defined as:

"**Counterparts**" mean MUTB's clients, customers, counterparties, suppliers, advisors and other persons with whom MUTB conducts business or has a business relationship;

"**Owners**" mean individuals who are shareholders in a Counterpart, partners or sole proprietor of a Counterpart, or who otherwise have ownership interests in, or a controlling influence (or perceived or deemed controlling influence) over, a Counterpart;

"**Representatives**" mean individuals who represent Counterparts in any capacity including as directors, partners, employees, authorised officers, agents and contacts.

2. An individual may be both an Owner and a Representative of the same Counterpart.
3. This notice applies to Owners and Representatives in any part of the world.

### ***Why and how data are collected.***

4. Personal data (that is, information about an identifiable individual (see paragraph 6 for examples)) may be collected by MUTB about Owners and Representatives:
  - for the purposes of marketing services to the Counterpart;
  - for the negotiation and performance of a contract with the Counterpart;
  - to contact Representatives about business dealings with the Counterpart;
  - in the course of business dealings with the Counterpart;
  - as part of its efforts to counter financial crime and to comply with financial sanctions;
  - to comply with its legal and regulatory obligations and the reasonable requests of authorities supervising or authorising MUTB in the conduct of business with the Counterpart;

*continued...*

- to enable the assertion of legal claims and defence of legal disputes;
  - for its legitimate interests and those of third parties.
5. Personal data may be collected directly from the Owners and Representatives, or indirectly from the Counterpart, and from publically available resources and other sources (including privately maintained databases) lawfully available to MUTB. Personal data may also be collected from the documents, correspondence and communications made by Owners and Representatives and from their use of electronic services such as websites and e-mail.
6. Personal data related to an Owner and a Representative may include:
- name and contact information, including email address and telephone number and related company and employer details;
  - information to enable MUTB to check and verify the individual's identity, for example, photograph, date of birth and country of residence and may include a copy of a passport or other officially issued identification document;
  - gender information;
  - location data;
  - personal or professional interests and qualifications;
  - information collected from publically available sources, for example websites (including social media sites), public registers and newspapers in any part of the world;
  - information collected from credit reference agencies and other privately maintained databases in any part of the world;
  - (in the case of Owners only) source of wealth or other personal financial information;
  - such other information as the individual may volunteer to MUTB in the course of business dealings or in response to specific requests.

***How data are processed.***

7. When MUTB processes personal data from its branch in London, UK (either itself or by third parties processing on its behalf) it will comply with applicable UK laws including the Data Processing Act 2018 and the European regulation 2016/679 as retained and amended in the laws of the UK.
8. Personal data will be accessed by employees of MUTB and of its affiliated companies who have a legitimate need to view and use the data for the purposes listed in paragraph 4 or such other lawful reasons. These will include account managers and other front line staff dealing with the Counterpart's business, and middle and back office and administrative functions such as risk management, settlement and compliance department staff.
- "Affiliated companies" are Mitsubishi UFJ Financial Group, Inc. and its subsidiaries (see [https://www.mufig.jp/english/profile/biz\\_and\\_network/network/index.html](https://www.mufig.jp/english/profile/biz_and_network/network/index.html) for a list).
9. Personal data may be exported outside the UK to other territories and countries which the UK government has assessed to have adequate data protection laws (these include Japan where MUTB's head office is located). Data may also be exported to other

territories and countries lacking equivalent data protection laws where MUTB has adopted additional safeguards as required by applicable law.

10. MUTB maintains reasonable organisational, technical and administrative measures to appropriate standards to safeguard personal data but is unable to offer complete protection against all forms of illegal interception, corruption, disclosure and other misuse.
11. Personal data are retained for the longer of (i) such time as is necessary to fulfil the purpose for which they were collected and (ii) the period specified in internal policies and procedures designed to meet applicable legal and regulatory requirements. Thereafter, to the extent technically practicable, the data are put beyond normal accessibility and use.

***Individual rights.***

12. Under law, Owners and Representatives have a number of individual rights with respect to the processing of personal data relating to them. Subject to paragraph 13, these include:
  - (i) the right to access and obtain a copy of their personal data held by MUTB, which MUTB will endeavour to supply to the extent the individual is legally entitled, within one month of receipt of the request. If MUTB requires a longer period, taking into account the complexity and number of the requests made, the individual will be informed;
  - (ii) the right to object to the processing of their personal data. MUTB may not, however, be able to comply with such a request where there are compelling legitimate grounds for the processing that override the individual's interests, rights and freedoms or where the processing is required for compliance with a legal or regulatory obligation or in connection with legal proceedings;
  - (iii) in the cases where data are processed only with the consent of the individual, the right to withdraw that consent at any time;
  - (iv) the right to rectify and amend their personal data if there are inaccuracies;
  - (v) the right to request that the erasure of their personal data:
    - that are no longer required for the purpose for which they were collected,
    - where a related and required consent is withdrawn,
    - when the data subject has made a valid objection (see above),
    - that are unlawfully processed, or
    - otherwise when required by law,unless there is a legal requirement to continue the processing or the data are to be used in legal proceedings;
  - (vi) the right to restrict processing of data:
    - for the period to enable MUTB to investigate when their accuracy are contested or a processing objection is raised,
    - unlawfully processed (and the data subject does not request erasure), or
    - that are no longer required for the purpose for which they were collected but MUTB requires to retain the data for use in legal proceedings;

- (vii) the right not to be subjected to decisions based solely on automated decision-making, including profiling, which significantly affects the individual.
13. MUTB can refuse the exercise of a right in paragraph 12 where the exercise of the individual's rights would be prejudicial to, or prevent, MUTB's lawful processing, for example:
- (i) where the processing is:
    - for the prevention and detection of crime;
    - necessary for legal proceedings;
    - for the purposes of management forecasting or management planning in relation to a business;
    - related to MUTB's intentions relating to any negotiations with the individual;
  - (ii) where the data are:
    - used in a public register (or other disclosure) required by law;
    - set out in a reference given (or to be given) in confidence for employment or educational purposes.
  - (iii) if it would mean disclosing information about another individual who can be identified from information disclosed unless that other has consented or it is reasonable to disclose without consent; and
  - (iv) where the request to exercise a right is manifestly unfounded or excessive.

***Contact and complaints***

14. Owners and Representatives may contact MUTB in relation to their rights by writing to:

Information Security Manager  
Mitsubishi UFJ Trust and Banking Corporation  
24 Lombard Street  
LONDON  
EC3V 9AJ

or by e-mail to:

compliance@ldn.tr.mufg.jp

marking the e-mail for the attention of the Information Security Manager

15. In addition, Owners and Representatives may complain about MUTB's processing of their data to the UK Information Commissioner, see website:

<https://ico.org.uk/concerns/>

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