

Instinet Incorporated – Privacy Policy for Websites, Office Visits, Events and Clients

21 June 2024



CONTENTS

| | | |
|-------|---|----|
| 1.0. | How We Use Personal Information | 3 |
| 1.1. | How We Use Sensitive Personal Information..... | 4 |
| 2.0. | Collection and Disclosure of Personal Information | 4 |
| 3.0. | Sources and Disclosures of Personal Information | 6 |
| 4.0. | Additional Information for California Residents..... | 8 |
| 4.1. | Retention Period | 8 |
| 4.2. | Individual Rights and Requests | 9 |
| 4.3. | Authorized Agents | 9 |
| 4.4. | De-Identified Information | 9 |
| 5.0. | Cookies and Third Party Analytics | 9 |
| 6.0. | Marketing Emails..... | 10 |
| 7.0. | Jurisdiction and Cross-Border Transfer | 10 |
| 8.0. | Third-Party Services..... | 10 |
| 9.0. | Children’s Privacy..... | 10 |
| 10.0. | Changes to This Policy | 10 |
| 11.0. | Questions or Comments | 11 |

Instinet Incorporated and its subsidiaries located in the United States (collectively “Instinet,” “we,” or “us”) value the information entrusted to us. As used in this Privacy Policy (“Policy”), the term “Corporate Group Websites” refer to www.instinet.com.

This Policy describes how we, in the United States, collect, use, and disclose Personal Information through (i) our Corporate Group Websites, (ii) visits to our offices, (iii) attendance or registration for our in-person or virtual events, (iv) an existing or contemplated business relationship with our clients (if no other policy is not provided), and (v) other online and offline business interactions you have with us (collectively, the “Services”). This policy does not apply to Instinet employees (current employees or prospective employees) or individual contractors, who should instead review the “Employee, Job Applicant, and Contractor Privacy Policy” that may be found on the same web page as this Policy.

If you, or an organization you represent, are provided with a separate privacy policy in connection with an event or with the business or professional relationship with us. Such policies will control in the event of conflict with this Policy.

By using our Services, you are agreeing to the terms of this Policy.

1.0. HOW WE USE PERSONAL INFORMATION

“Personal Information” is information that identifies, relates to, or could reasonably be linked with a particular individual. This section describes how we may use the categories of Personal Information detailed in the “Collection and Disclosure of Personal Information” section below. The details of our collection and disclosure of Personal Information are found in the next sections.

We use Personal Information in accordance with applicable laws:

- In connection with our Corporate Group Websites
 - To provide the Corporate Group Websites to you
 - To count and recognize visitors to the Corporate Group Websites and analyze how visitors use the Corporate Group Websites
 - To engage in analysis and research about the Corporate Group Websites
- In connection with promoting our products and services
 - To send you updates, marketing, or other communications about topics that may interest you, or an organization you represent, including about our products and services
 - To engage in analysis and research about our products and services, and our communications (including emails) with you, including merging Personal Information with information we may already have or may collect about you
- In connection with providing our products and services
 - To fulfill the terms of any agreement that you, or an organization you represent, have with us, or otherwise complete a transaction that you, or an organization you represent, initiate
 - To establish and maintain user accounts and authenticate your/user identity
 - To fulfill your requests or answer questions from you, or an organization you represent
 - To develop, support and improve our existing products and services or create new products and services

- In connection with complying with legal and regulatory obligations and preventing bad acts
 - To comply with law, legal process, and internal policies, and exercise and defend legal claims
 - To respond to requests from public and government authorities and to cooperate with law enforcement
 - To enforce our terms and conditions
 - To conduct risk and security control and monitoring, and detect and prevent fraud including conducting Know Your Customer (KYC) and Anti-Money Laundering (AML) verification
 - To perform identity verification, accounting, audit, and other internal functions, such as internal investigations and record-keeping
- In connection with events
 - To sign you up for in person or virtual events
 - To receive your feedback in connection with the events
- Other business purposes
 - To conduct research, analytics, and data analysis
 - To compile and disclose aggregated information
 - To enhance, improve, repair, maintain, or modify our Services, as well as undertaking quality and safety assurance measures
 - To identify usage trends, for example, to understand which parts of our Services are of most interest to our clients
 - To operate and expand our business activities

1.1. How We Use Sensitive Personal Information

We use Sensitive Personal Information (please see the Sensitive Personal Information and Characteristics of Protected Classifications definition in the next section) for purposes of performing services for our business, providing products or services as requested by you, ensuring security and integrity, countering malicious, deceptive, fraudulent, or illegal actions, servicing accounts, providing customer service, verifying client information, processing payments, providing financing, activities relating to quality and safety control or product improvement, and other collection and processing that is not for the purposes of inferring characteristics about an individual. We do not use Sensitive Personal Information beyond these purposes.

2.0. COLLECTION AND DISCLOSURE OF PERSONAL INFORMATION

This section explains how the various categories of Personal Information (involved in the respective operational business purposes described in the preceding section) may be collected, processed, and disclosed to third parties both at the date of this policy and for the prior twelve months.

Personal Information categories include:

- **Identifiers and Personal Information (as defined in the California customer records law)**

Explanation and examples: This category includes information such as name, contact information, addresses, government-issued ID numbers, signature, and username and password.

Sources and Disclosures: See rows 1-9 in the Sources of Personal Information table and rows 1-8 in the Recipients of Disclosures of Personal Information table in the following “Sources and Disclosures of Personal Information” section.

- **Biographical Information (including Educational and Professional/Employment-related Information)**

Explanation and examples: This category includes information such as your employer identity, your professional title and role, and your educational history.

Sources and Disclosures: See rows 1-7 in the Sources of Personal Information table and rows 1-8 in the Recipients of Disclosures of Personal Information table in the following “Sources and Disclosures of Personal Information” section.

- **Internet or Other Electronic Network Activity Information Including Device Information**

Explanation and examples: This category includes information such as your history of browsing and interactions with our Corporate Group Websites, it may also include information regarding your interaction with our communications to you for example, whether you read or forwarded or clicked on a link in one of our emails

Sources and Disclosures: See rows 1-4 in the Sources of Personal Information table and rows 1, 2, 4, and 5 in the Recipients of Disclosures of Personal Information table in the following “Sources and Disclosures of Personal Information” section

- **Commercial/Transaction Information**

Explanation and examples: This category includes information such as your transactions, your financial accounts, and your business engagements with us or our affiliates.

Sources and Disclosures: See rows 1-3, and 5-6 in the Sources of Personal Information table and rows 1-3, 5, 6, and 8 in the Recipients of Disclosures of Personal Information table in the following “Sources and Disclosures of Personal Information” section.

- **Audio/Video/Photo Information**

Explanation and examples: This category includes information such as your likeness captured on video or in photos at our events, information captured by security equipment on our premises, your photo identification, and your voice captured in audio on a business call.

Sources and Disclosures: See rows 1-5, and 9 in the Sources of Personal Information table and rows 1, 2, 4, 5, 7, and 8 in the Recipients of Disclosures of Personal Information table in the following “Sources and Disclosures of Personal Information” section.

- **Location Information**

Explanation and examples: This category includes information such as your region, country, city, and geolocation.

Sources and Disclosures: See rows 1-9 in the Sources of Personal Information table and rows 1-7 in the Recipients of Disclosures of Personal Information table in the following “Sources and Disclosures of Personal Information” section.

- **Sensitive Personal Information and Characteristics of Protected Classifications**

Explanation and examples: This category includes information such as account log-in information; social security numbers, driver’s license number, state identification card number, passport number, racial or ethnic origin, citizenship, and immigration status.

Sources and Disclosures: See rows 1-3, 5, 6, 7 in the Sources of Personal Information table and rows 1, 2, 3, 7 in the Recipients of Disclosures of Personal Information table in the following “Sources and Disclosures of Personal Information” section.

- **Profile Information from Inferences**

Explanation and examples: We may draw inferences drawn from any of the information listed above to create a profile or summary about, for example, an individual’s preferences.

Sources and Disclosures: See row 5 in the Recipients of Disclosures of Personal Information table in the following “Sources and Disclosures of Personal Information” section

- **De-identified or aggregated information.**

Explanation and examples: We may share, or allow third parties to create and share, de-identified and/or aggregated information from any of the categories above for any lawful purpose, including to provide reports on trends in usage of our Corporate Group Websites or communications.

Sources and Disclosures: N/A due to the de-identified or aggregated nature

We may also use, disclose, or transfer Personal Information to a third party in connection with any proposed or actual reorganization, bankruptcy, merger, sale, joint venture, assignment, transfer, or other disposition of all or any portion of our assets or stock.

3.0. SOURCES AND DISCLOSURES OF PERSONAL INFORMATION

The following two tables describe sources where we may obtain your Personal Information and Parties to who such Personal Information may be disclosed. These tables should be reviewed together with the information in the preceding “Collection and Disclosure of Personal Information” section.

| Sources of Personal Information | |
|--|--|
| 1. | From you directly or from someone you authorize when you, or an organization you represent, seek or receive services or reports or research or other information from us, register for our events, or visit our Corporate Group Websites |
| 2. | From our affiliates when you, or an organization you represent, through our affiliates, seek or receive services or information, register for our or our affiliates’ events, or visit our Corporate Group Websites |
| 3. | From our business partners when you, or an organization you represent, through our business partners, seek or receive our services, register for our events, or visit our Corporate Group Websites |
| 4. | From third party service providers involved in putting on or coordinating events, event recording/photos, event broadcasting, and event registrations |

- | |
|---|
| 5. From you in your communications with us (e.g., your email address, your signature block, and/or other information you include in your communications) |
| 6. From third-party service providers engaged for Know Your Customer (KYC) services, Anti-Money Laundering (AML) services, and/or transaction monitoring and screening services in our efforts to comply with laws and regulations and to prevent/investigate of bad acts related to our services that you, or an organization you represent, seek or receive |
| 7. From government and regulator watch lists and the media as part of our efforts to comply with laws and regulations and to prevent/investigate of bad acts related to our services that you, or an organization you represent, seek or receive |
| 8. From our or our service providers' technological tools such as service logs, cookies, or pixel tags that obtain such information from your device's your interactions with our Corporate Group Websites or from our marketing emails to you |
| 9. From third party providers of security services for our offices, such as video monitoring or entry/access control |

Recipients of Disclosures of Personal Information

- | |
|---|
| <p>1. Our affiliates – for example:</p> <ul style="list-style-type: none"> • when you, or an organization you represent, are or wish to be our affiliates' client; • when our affiliates are involved in the event, entertainment, or training you seek/receive; • when you, or an organization you represent, seek/receive services from our affiliates; • when our affiliates are involved in the services you, or an organization you represent, seek/receive from us; • when our affiliates are involved in the services that we may promote to you, or to an organization you represent; • when our affiliates support the Corporate Group Website functionality that you utilize; or • when our affiliates are involved in research that requires such information |
| <p>2. Our business partners - for example:</p> <ul style="list-style-type: none"> • when you, or an organization you represent, are or wish to be our business partners' client; • when our business partners are involved in the event, entertainment, or training you, or an organization you represent, seek/receive; • when you, or an organization you represent, seek/receive services from our business partners through us; • when our business partners are involved in the services you, or an organization you represent, seek/receive from us; or • when our business partners are involved in the services we promote to you, or to an organization you represent |
| <p>3. Third party service providers of Know Your Customer (KYC) and Anti-Money Laundering (AML) services and transaction monitoring and screening services – for example:</p> <ul style="list-style-type: none"> • when such vendors need the information in order to assist our efforts to comply with laws and regulations and to prevent/investigate of bad acts related to services that you, or an organization you represent, seek/receive from us |

| |
|--|
| <p>4. Third party service providers of event, entertainment, or training services - for example:</p> <ul style="list-style-type: none"> when such vendors need the information in order to assist us in putting on the event, entertainment, or training |
| <p>5. Third party service providers of technology services such as customer relationship management, trade routing/execution, website hosting, website/email analytics - for example:</p> <ul style="list-style-type: none"> when we utilize third-party software or technology services in providing services or information to you, or an organization you represent; when we utilize third-party software or technology services to support Corporate Group Website functionality or security; or when the information is needed for website/email analytics |
| <p>6. Public and governmental authorities – for example:</p> <ul style="list-style-type: none"> when such disclosures are obligatory for the services that you, or an organization you represent, seek/receive from us e.g., in submitting trade audit trails to the regulators |
| <p>7. Third party providers of security services - for example:</p> <ul style="list-style-type: none"> when your information is needed by our office/building security personnel |
| <p>8. Third party providers of telephone/other-communication regulatory recording services – for example:</p> <ul style="list-style-type: none"> when you, or an organization you represent, seek our services that must be conducted on a recorded telephone line or via recorded communications |

4.0. ADDITIONAL INFORMATION FOR CALIFORNIA RESIDENTS

Pursuant to the California Consumer Privacy Act of 2018, as amended by the California Privacy Rights Act (collectively, the “**CCPA**”), we are providing the following additional details regarding the Personal Information that we collect, use, and disclose about California residents. Under the CCPA, “**Personal Information**” is information that identifies, relates to, or could reasonably be linked with a particular California resident or household.

We do not “sell” or “share” your Personal Information, including your Sensitive Personal Information, as defined under the CCPA. We have not engaged in such activities in the 12 months preceding the date this Policy was last updated. Without limiting the foregoing, we do not “sell” or “share” the Personal Information, including the Sensitive Personal Information, of minors under 16 years of age.

4.1. Retention Period

We retain Personal Information for as long as needed or permitted in light of the purpose(s) for which it was collected. The criteria used to determine our retention periods include:

- The length of time we have an ongoing relationship with you and provide services to you (for example, for as long as you have an account with us or keep using our services) and the length of time thereafter during which we may have a legitimate need to reference your Personal Information to address issues that may arise;
- Whether there is a legal obligation to which we are subject (for example, certain laws require us to keep records of your transactions for a certain period of time before we can delete them); or
- Whether retention is advisable in light of our legal position (such as in regard to applicable statutes of limitations, litigation or regulatory investigations).

4.2. Individual Rights and Requests

If you are a California resident, you may make the following requests:

1. You may request that we disclose to you the following information:
 - a. The categories of Personal Information we collected about you and the categories of sources from which we collected such Personal Information;
 - b. The business or commercial purpose for collecting Personal Information about you; and
 - c. The categories of Personal Information about you that we otherwise disclosed, and the categories of third parties to whom we disclosed such Personal Information (if applicable).
2. You may request to correct inaccuracies in your Personal Information.
3. You may request to have your Personal Information deleted.
4. You may request to receive the specific pieces of your Personal Information, including a copy of the Personal Information you provided to us in a portable format.

You have the right to be free from unlawful discrimination for exercising your rights under the CCPA.

To make a request, please contact us at Americasprivacy@nomura.com or (833) 770-4090. We will verify and respond to your request consistent with applicable law, taking into account the type and sensitivity of the Personal Information subject to the request. We may need to request additional Personal Information from you, such as mailing address, telephone number and/or email address, in order to verify your identity and protect against fraudulent requests. If you maintain a password-protected account with us, we may verify your identity through our existing authentication practices for your account and require you to re-authenticate yourself before disclosing or deleting your Personal Information. If you make a deletion request, we may ask you to verify your request before we delete your Personal Information.

California law also gives residents of California the right, under certain circumstances, to request information from us regarding the manner in which we share certain categories of Personal Information with third parties for their direct marketing purposes. To request such information, please contact using the contact information provided in the “Questions and Comments” section, below.

4.3. Authorized Agents

If an agent would like to make a request on your behalf as permitted by applicable law, the agent may use the submission methods noted in the section entitled “Individual Rights and Requests.” As part of our verification process, we may request that the agent provide, as applicable, proof concerning their status as an authorized agent. In addition, we may require that you verify your identity as described in the section entitled “Individual Requests” or confirm that you provided the agent permission to submit the request.

4.4. De-Identified Information

Where we maintain or use de-identified information, we will continue to maintain and use the de-identified information only in a de-identified fashion and will not attempt to re-identify the information.

5.0. COOKIES AND THIRD PARTY ANALYTICS

Cookies are pieces of information stored directly on your computer. Cookies allow us to collect such information as browser type, time spent on the Services, pages visited,

language preferences, and traffic data. We use the information for security purposes, to facilitate navigation, to display information more effectively, and to personalize your experience. We also gather statistical information about use of the Services in order to continually improve their design and functionality, understand how they are used, and assist us with resolving questions regarding them. We do not currently respond to browser do-not-track signals. If you do not want information collected through the use of cookies, most browsers allow you to automatically decline cookies or be given the choice of declining or accepting particular cookies from a particular website. You may also wish to refer to <http://www.allaboutcookies.org/manage-cookies/index.html>. If, however, you do not accept cookies, you may experience some inconvenience in your use of the Services.

We may work with certain third parties to collect Personal Information and to engage in analytics, auditing, research, and reporting. These third parties may use tracking mechanisms such as web logs and pixel tags, and they may set and access cookies on your computer or device. In particular our site uses Google Analytics to collect and analyze certain information about the website's visitors. This service may also collect information regarding the use of other websites, apps, and online services. Information regarding Google's practices with Google Analytics can be found in Google's privacy policy at <http://www.google.com/policies/privacy/partners> and choices for "opt-out" opting out are described at <https://tools.google.com/dlpage/gaoptout>.

6.0. MARKETING EMAILS

If you no longer want to receive marketing emails from us on a going-forward basis, you may opt-out by clicking the "unsubscribe" link at the bottom of each such email. If you opt out, we may still send you important administrative messages, from which you cannot opt out."

7.0. JURISDICTION AND CROSS-BORDER TRANSFER

We are located in the United States. We may store and process your Personal Information in any country where we have facilities or in which we engage service providers. By using our Services, you understand that your information will be transferred to countries outside of your country of residence, including the United States, which may have data protection rules that are different from those of your country.

8.0. THIRD-PARTY SERVICES

This Policy does not address, and we are not responsible for, the privacy, information, or other practices of any third parties, including any third party operating a website or service to which the Services link. The inclusion of a link on the Services does not imply our endorsement of the linked site or service.

9.0. CHILDREN'S PRIVACY

Our Corporate Group Websites and other services are not directed to individuals under the age of 13, and we do not knowingly collect Personal Information from individuals under 13.

10.0. CHANGES TO THIS POLICY

The "Last Updated" legend at the top of this Policy indicates when this Policy was last revised. Any changes will become effective when we post the revised Policy at <https://www.instinet.com/privacy-policy>.

11.0. QUESTIONS OR COMMENTS

If you have any questions or comments regarding our privacy practices or this Policy, please contact us by email at Americasprivacy@nomura.com or by mail at: c/o Legal and Compliance Department, Instinet, LLC, 309 West 49th Street, New York, NY 10019.