



Garančný fond investícií

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Investment Guarantee Fund

Organisation identification number: 36 065 641

Section: Po

Entry: 1132/B

Tel.: +421 2 524 90510

Mobile: +421 903 201 639

Information on the processing of personal data

Pursuant to Regulation (EU) 2016/679 of the European Parliament and of the Council on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation) in the version in force as of 25 May 2018 ('GDPR') and Act No. 18/2018 Coll. on personal data protection and on amendments and supplements to certain laws as amended ('Personal Data Protection Act').

The Investment Guarantee Fund ('IGF') is a legal person established by Act No. 566/2001 Coll. on securities and investment services and on amendments and supplements to certain laws as amended ('Securities Act'), which centralises cash contributions from securities dealers or brokerage houses and branches of foreign securities dealers or brokerage houses, management companies and branches of foreign management companies (persons participating in client protection) to pay compensation for unavailable client assets received by persons participating in client protection in order to provide the investment service. When performing its tasks, the IGF handles personal data pursuant to the Securities Act as a controller, i.e., the person who processes personal data, or rather the person on whose behalf personal data are processed.

The provision of personal data to the IGF is voluntary. However, the provision of some personal data is required by the IGF as they are necessary for the performance of the contract, fulfilment of legal obligations of the IGF and the protection of its legitimate interests. Should the person concerned, i.e. the data subject, not provide such data to the IGF, the IGF cannot provide to the data subject the appropriate service, for which it requires the data subject's personal data.

Controller of personal data processing

The Investment Guarantee Fund based in 18 Čajakova, Bratislava, 811 05, organisation identification number 36 065 641, entered in the Business Register of the Bratislava I District Court, Section Po., Entry No. 1132/B.

The scope of personal data processing

The IGF processes only common personal data (not specific personal data) and contact data required for ensuring the performance of activities pursuant to the Securities Act, the fulfilment of further legal obligations, obligations arising from contractual relationships and personal data necessary for meeting IGF's commitments as well as protecting its legitimate interests.

The IGF also processes data obtained from two-way communication with third parties and further data with the data subject's consent so as to adhere to the principles for the processing of personal data pursuant to the GDPR and the Personal Data Protection Act.

Source of personal data

The IGF processes personal data obtained in connection with the negotiation, conclusion and performance of a contract, payment of compensation for unavailable client assets and related activities, data from third parties, if provided for by a separate regulation, from two-way communication, personal data obtained from publicly available sources and registers and competent authorities. A data transfer may take place in order to meet the requirements of separate legal regulations or enter into a contractual relationship.

Data subjects

The IGF processes personal data of investors in securities/clients of persons participating in client protection and their (legal) representatives and agents, furthermore, it processes the data of representatives of persons participating in client protection, including members of their statutory bodies and employees, other contractual partners, along with their contact persons, and, if required by IGF's legitimate interest, third persons, who gave the IGF their consent to the processing of personal data.

The purpose of processing personal data

The IGF processes personal data to the extent necessary:

- a) for the fulfilment of legal obligations (e.g. under the Securities Act, Act No. 747/2004 Coll. on the supervision of the financial market and on amendments and supplements to certain laws as amended);
- b) for the performance of a contractual relationship (e.g. the performance of rights and obligations arising from the contract);
- c) for the protection of its rights and legitimate interests (e.g. for resolving disputes, management and recovery of receivables, performing analyses, assessment of possible risks and software testing); and
- d) for further purposes with the data subject's consent (e.g. for sending information on the IGF, on the payment of compensation and its process, statistics, invitations and information to persons requesting the payment of compensation for unavailable client assets).

The data transfer with the data subject's consent is voluntary.

Should the data subject give his or her consent to sending information under d), he or she can, at any time, withdraw consent or cancel the sending of information in the following ways:

- 1. in person at the IGF'S registered office;**
- 2. by post to the IGF's address 18 Čajakova, Bratislava, 811 05; and**

3. by email to gdpr@garancnyfond.sk.

Consent form/Withdrawal of consent form for the processing of personal data:

<http://www.garancnyfond.sk/domain/garancnyfond/files/gdpr/suhlas-gdpr.pdf>

Means of personal data processing

The IGF processes personal data of data subjects by authorised and unauthorised means, or rather electronically and/or in paper form. The IGF does not use any of the modalities of automated individual decision-making and profiling.

Retention period for personal data

The IGF keeps personal data only for a strictly necessary period; personal data are then destroyed under supervision. The data subjects' personal data are processed for the duration of the contractual relationship and are subsequently stored for a period specified in separate legislation, such as archiving law, accounting law, tax laws (normally 10 years) and, if necessary, these periods are extended by general limitation periods (in the course of possible judicial proceedings).

<http://www.garancnyfond.sk/o-nas/ochrosobudajov/doba-uchovavania/>

Disclosure of personal data to third parties

The IGF refers personal data to supervisory authorities, courts, other state authorities, persons through whom the IGF ensures the payment of compensation, other institutions with deposit and investment guarantee schemes provided that this obligation arises from generally binding legislation and, if necessary, for the protection of IGF's rights. The IGF can mandate a third person, the so-called processor, to process data. The processing is only possible under a concluded contract while maintaining the same level of protection as afforded by the IGF to the processors. The IGF may also forward personal data to the providers of services to the IGF. The complete list of processors and suppliers to whom personal data are forwarded can be found on IGF's website: <http://www.garancnyfond.sk/o-nas/ochrosobudajov/zoznamtretich-osob/>

Personal data can also be provided to other persons with the data subject's consent or at his or her behest.

Transfer of personal data to a third country

Personal data are not the subject of cross-border transfer to third countries that do not afford an adequate level of personal data protection with the exception of cases specified by the legislation in force or special situations where the data subject must be informed in advance.

Rights of the data subject

The IGF processes personal data in accordance with the GDPR and the Personal Data Protection Act. If the conditions laid down in the relevant legislation are fulfilled, the data subject has the right to the following:

- a) access to the data subject's personal data in the form of an extract;
- b) correction of his or her incorrect, inaccurate personal data and rectification of incomplete personal data;
- c) restriction of processing of his or her personal data;

- d) portability of his or her personal data (if technically feasible); and
- e) deletion of his or her personal data.

If the IGF fails to meet its obligations regarding the collection or processing of personal data, the data subject is entitled to request the IGF to provide an explanation for such conduct, to refrain from such action and to remedy the situation. In addition, the data subject is entitled to address his or her complaints to the Office for Personal Data Protection. The data subject may exercise his or her rights against the IGF by email to gdpr@garancnyfond.sk, by telephone (+421 2 524 905 10) or in writing by post to Garančný fond investícií, Čajakova 18, 811 05 Bratislava (Investment Guarantee Fund, 18 Čajakova, 811 05, Bratislava).

The data subject has the right to object to the processing of personal data if the processing takes place on the grounds of legitimate interests of the Central Securities Depository of the Slovak Republic (CSD). In cases where the processing of personal data requires the data subject's consent, this data subject is entitled to withdraw his or her consent at any time.

The withdrawal of consent does not affect the processing of the data subject's data for the period during which the consent was validly granted by the data subject, nor does it have an impact on the processing of his or her personal data on other legal grounds, if applied (e.g. the fulfilment of legal obligations or for the purpose of legitimate interests).

COOKIE settings

The IGF does not use cookies on its publicly available website (www.garancnyfond.sk).

This information on the processing of personal data is available on the IGF's website and on request at the IGF's registered office: 18 Čajakova, Bratislava 811 05.