

## **Data protection information sheet**

As part of the engagement relationship, we at CK Corporate Finance GmbH process personal data both of our clients and third parties. In doing so, we comply with the requirements of data protection laws (in particular GDPR and BDSG (German Federal Data Protection Act)).

We take technical and organisational measures according to the latest standards to protect your data. This information sheet describes the processing of personal data in the context of our general business activities and as part of handling engagements, as well as the rights of data subjects.

### **1. Name of the controller**

Responsible for the processing of your data is the company of the CK Corporate Finance GmbH with which you have entered into contractual or pre-contractual relationships. The company responsible for email contact is specified in the e-mail signature of your contact person. If no such contractual relations and contacts exist, the controller is:

CK Corporate Finance GmbH, represented by  
Daniel Deistler (in the following „we“)

Hans-Thoma-Str. 4

D-61476 Kronberg

Phone: +49 152 31866489

E-Mail: [info@ckcf.de](mailto:info@ckcf.de)

Web: [www.ckcf.de](http://www.ckcf.de)

Commercial Registry: Amtsgericht Königstein

Commercial Reg-No.: HRB 8706

### **2. Contact details of the data protection officer**

You can contact our data protection officer by post at the address specified above ("Confidential, for the attention of the data protection officer").

You can contact the data protection officer per email at [info@ckcf.de](mailto:info@ckcf.de).

### **3. Categories of processed personal data**

For the purpose of this letter, "personal data" means any information relating, directly or indirectly, to an individual, natural person (Article 4 No 1 GDPR).

As part of our general business activity and when handling engagements, we usually process contact data of clients, business partners and third parties, payment data and other information regarding personal and professional relationships, as far as it is of relevance to the performance of our services.

Due to the nature of our activities in many cases we cannot work with anonymised or pseudonymized data. Statutory requirements (rules of professional conduct) obligate us to process certain data of our clients but also of third parties, e.g. to comply with the provisions

of the Anti-Money Laundering Act or to evidence compliance with the professional independence requirements arising from the rules of professional conduct.

Some data is not provided by you but obtained from publicly available sources, such as public telephone directories, address directories, business directories, public notices, publicly accessible registers and the Internet, if the data is freely accessible there.

#### **4. Purpose and legal reasons for which data is collected, processed or used**

We process personal data on the one hand in the context of our general business activity, on the other hand as part of handling engagements,

a. Performance of services, compliance with legal obligations (Article 6 (1) sentence 1 lit. c, f GDPR)

We store and use personal data communicated to us to perform the agreed service including communication with you and all other entities with which such communication is necessary as part of handling the engagement. Being professionals we act on the basis of code of professional conduct.

Under these provisions we are, in particular, obliged to ensure proper documentation and archiving of our correspondence and work results in IT systems and in paper form. In order to ensure our independence required under the rules of professional conduct during engagement acceptance a so-called collision check is carried out in which we also process personal data.

b. Performance of a contract (Article 6 (1) sentence 1 lit. b, GDPR)

We process personal data for the implementation or initiation of contracts to which the data subject is the contracting party. The nature and extent of the processing in this case arise from the respective contract and the associated terms and conditions.

c. Protection of legitimate interests (Article 6 (1) sentence 1 lit. f, GDPR)

As part of our general business operations and mandate processing, we process personal data on the basis of a balance of interests, unless there are overriding legitimate interests of the data subject.

The underlying legitimate interests include, in particular, the maintenance of business operations, as well as the provision of the contractually agreed service to our clients. We process the personal data only as far as necessary for the provision of our services. The preservation of the interests of data subjects is ensured under the doctrine of the balancing of interests in particular due to the fact that we are subject to the statutory provisions of the code of professional conduct and to the supervision by the respective chambers. Within this framework, we process data independently, conscientiously and secretly. All our employees are trained to comply with data protection law and the code of professional conduct and have signed a pledge to confidentiality. Please feel free to contact us if you wish us to provide you with information on technical and organisational measures.

d. Sending interesting information (Article 6 (1) sentence 1 lit. f, GDPR)

We send client alerts via email or by post to inform them about events, developments or news that we think could be of interest to them. We would like to use your contact data for this purpose, too. If you do not agree, you can object to the use of your data for this purpose at any time. You can send your objection via email or by post to your contact person or contact the data protection officer of the CK Corporate Finance GmbH Group at [info@ckcf.de](mailto:info@ckcf.de).

Of course, you can also declare your objection to receiving this information already in the form of an attachment to the engagement letter.

e. Provided that no legal grounds specified in a) to d) exist, we obtain the data subject's consent to data processing measures and inform them comprehensively about the planned data processing. This applies to the sending of newsletters and invitations to persons other than clients but also, for example, to the transfer of data of applicants to further potentially interested persons within the CK Corporate Finance GmbH Group.

## **5. Recipients or categories of recipients to whom your data may be transferred**

### DATA TRANSFER WITHIN THE CK CORPORATE FINANCE GMBH GROUP

The strength of CK Corporate Finance GmbH Group is the internationality. In addition to the Data Protection Act, all members are also bound by the code of professional conduct that obliges us to increased confidentiality. Subject to your agreement, if necessary and without bothering you in individual cases with the demand, we consult specialists from the CK Corporate Finance GmbH Group (irrespective of the company affiliation and the business segment) in the processing of your mandate.

If you do not agree, you can declare your objection already in the form of an attachment to the engagement letter. Also later on, you can object to the involvement of our colleagues in the handling of your engagement by sending your objection by post or email to the person responsible for your engagement.

For mandates with an international dimension, we involve our colleagues in the respective local branches, as well as cooperation partners on a case-by-case basis if necessary. Here, by careful selection, periodic inspection and contractual regulations, we ensure that your information is processed further on securely.

### TECHNICAL SERVICES

Internal recipients: For our consulting activities, we use diverse technical services which, however, are mainly performed within the CK Corporate Finance GmbH Group.

External recipients: For individual tasks, however, we are forced to rely on specialist support so it cannot be excluded that your data is also transferred to subcontractors as part of repairs and maintenance activities. In individual cases, we also use cloud or hosting services. In these

cases, we ensure by means of contractual regulations and careful selection of service providers that our high security standards are also adhered to by the service providers.

#### OTHER ASSISTANCE SERVICES

Internal recipients: Individual companies of the CK Corporate Finance GmbH Group perform central services for the entire group. In addition to IT services, these are, for example, central service providers for HR, legal and IT matters.

External recipients: Since the disposal and destruction of files and data carriers also represents processing of your personal data, we are obliged to point out to you that we engage external service providers in this regard. In individual cases, other third parties, such as external experts, are also involved in the processing of mandates. Here too, through careful selection and contractual regulations, we ensure that your data is secure and where possible does not come to the service providers' attention (for example: contactless destruction).

#### PUBLIC INSTITUTIONS

Where required, we transfer data to authorities, courts and other public bodies in Germany and abroad.

#### TRANSFER TO THIRD COUNTRIES OR INTERNATIONAL ORGANISATIONS

We only make such a transfer if this is necessary within the scope of the processing of the mandate, as well as on the basis of consent, to fulfil a contract with the person concerned, on the basis of a data processing agreement, or to meet legal requirements (e.g. collision check). When engaging data processors in third countries, we ensure the adequacy of the data protection level in accordance with the provisions of Art. 45 et seq. GDPR.

### **6. Data storage period**

We store personal data for as long as we need it for the performance of the respective task. As far as data is subject to statutory retention obligations we store it for the duration of the retention period. Moreover, we also store personal data if another legitimate interest according to Article 6 (1) sentence 1 lit. f GDPR exists.

Retention periods: The CK Corporate Finance GmbH Group comprises advisers whose reference files must be stored for 6 and/or 10 years starting from the end of the year in which the engagement is completed/terminated; in justified individual cases (e.g. for the purpose of securing evidence) the retention period can be longer. Further retention periods result from other laws, e.g. the German Civil Code (BGB), the German Commercial Code (HGB), the German Banking Act (KWG), the German Fiscal Code (AO), the German Anti-Money Laundering Act (GwG).

If personal data is subject to several retention periods, the longest period shall be decisive.

## **7. Rights of data subject**

Should you have any questions, suggestions or complaints regarding data protection at CK Corporate Finance GmbH Group, please feel free to contact our data protection officer at any time. You can contact our data protection officer at the following email address: [info@ckcf.de](mailto:info@ckcf.de).

All data subjects have statutory rights of access to information (e.g. as to the purpose for which their data are processed, the recipients of their data, the applicable retention periods).

This includes the right to receive a copy of the data. In addition, they have the right of rectification of incorrect data, erasure, restriction of processing, data portability, and objection (for example, when used for marketing purposes, or in the event of overriding conflicting interests).

Consent given can be revoked at any time with effect for the future, whereby the revocation is just as easy to explain as the consent.

Before you exercise your right of appeal to a data protection supervisory authority, we would ask you to contact us (e.g. at [info@ckcf.de](mailto:info@ckcf.de) or by sending a letter to your contact person responsible for your engagement).