Customer Privacy Notice

1. INTRODUCTION

Colombo Stock Exchange Group (hereinafter referred to as the "CSE Group") pays special attention to the collection, use, processing and storage of personal data with which it comes into contact in its day-to-day activity. Compliance with the legislation and alignment with the new provisions in the field of data protection has always been a priority for the company.

As a global financial services and technology provider, CSE Group is committed to protecting personal information and complying with applicable privacy requirements in a trustworthy, transparent, and responsible manner. CSE Group collects, processes, and transfers personally identifiable information when conducting business with both internal and external stakeholders." This Privacy Notice applies to all activities involving customer personal data within the CSE Group. The CSE Group refers to the Colombo Stock Exchange and its subsidiaries that work in close collaboration to facilitate stock exchange operations and related services. Due to the nature of this joint operation, customer data may be processed by the CSE Group in accordance with the terms set out in this Privacy Notice. While CDS will primarily act as the custodian of the data, both CSE, CSE Clear and CDS CSE Group may assume roles in data ownership and processing responsibilities as the CSE Group, depending on the specific business process involved.

1.1 This Privacy notice explains how the CSE Group collects information from you when you:

1.1.1 use our products or services; including but not limited to the opening of Securities Accounts with The Central Depository Systems (Pvt.) Ltd (CDS) - a subsidiary of the CSE, CDS e-connect, SMS Alerts Facility and e-Statements;

1.1.2 submit documents to the CDS or subscribe for alerts or newsletters;

1.1.3 attend one of our events, or an event hosted by the CSE Group, at the Head Office or the CDS premises or any place defined by the CSE Group, within or outside Sri Lanka;

1.1.4 visit or register to use https://www.cse.lk/corporate (the “Website”) or any CSE Group Website.

1.2 Our Websites use cookies and other tracking technologies to improve and tailor your browsing experience. Please read our latest Cookie Policy for more information.

1.3 CSE reserves the right to change this Privacy Notice at any time by posting the updated Notice here along with the date on which the Notice was changed. If we make material changes to this Privacy Notice that affect the way we collect, use and/or share your personal information, we will notify you by including a "Newly Updated" label with the "Privacy Notice" link on our Services for 30 days after material changes are made. Further, please read this Privacy notice carefully and re-visit this page from time to time to review any changes that may have been made.

1.4 It should be noted that all the personal information collected and processed by the CSE Group will also be stored and maintained with your respective stockbroker firm/s for providing stock brokering services.

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1.5 In the event of any conflict between this Privacy notice and the terms of a contract you have with us, the relevant provision of that contract shall prevail. Nothing in this Privacy notice shall apply to the extent that it is incompatible with applicable data protection laws.

1.6 Your personnel information shall be held in our databases as per the Personal Data Protection policies and procedures of the CSE Group.

02. WHAT PERSONAL INFORMATION DO WE COLLECT?

2.1" Personal **Information**" refers to information which does or can identify you as an individual. The types of Personal Information that we process will depend largely on the service you receive from us (and may also vary by country, and according to applicable law). However, the following is an overview of the types of Personal Information which the CSE Group would process:

- Name, addresses, email addresses, and telephone numbers
- Date of birth and gender
- Information required to create CDS accounts or related services, including details of dependents, beneficiaries, or insured parties
- CDS account numbers and account details (Trader identification, client identification etc.)
- financial holdings information and trading data
- Identification details such as National Identification Number, Driving License Number, or Passport Number (creating a CDS account or required to confirm your identity where you visit our premises).
- Corporate contract, employer, and/or other corporate affiliation (e.g., employer name, title, work address, and contact information)
- Employment, company officer or director, or shareholder status
- Birth certificates and death certificates
- Criminal convictions
- Biometric data
- Bank account or payment card details, including associated billing address(es) and expiration date(s)
- Photographic and video information (such as photos, CCTV etc...)
- Identification checks & background screening
- Information provided via surveys, customer feedback, or marketing research initiatives

2.2 Your use of the Website and related online services involves the automated collection of certain types of information, some of which may be considered Personal Information under applicable laws or in specific circumstances. This information includes:

- IP address
    - The website you visited us from
    - The date and duration of the visit to the CSE website
    - The CSE website pages you visited
    - The type of browser software used

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2.3 We will only collect information that is necessary for us to provide you with the product or service that you have requested. The type of information that we may collect will depend upon the nature of that service or product.

Minors

Our services are not typically designed for children (persons who are 16 or under). CSE does not knowingly collect personal information directly from children except when required by law or for compliance, safety, or regulatory purposes. If we become aware that we have collected such information unintentionally, we will ensure that it is only processed for a legal and valid reason. Once the legitimate purpose has ended or expired, we will take reasonable steps to delete and remove this personal information.

If you are a parent or guardian of a child who has provided personal information without your knowledge and consent, you may request we remove this children's information by emailing dpo@cse.lk

To the extent that the personal information we collect constitutes sensitive personal information (Special categories of personal data) under the Personal Data Protection Act, No. 9 of 2022 of Sri Lanka ("SL PDPA" / "Act") and other related privacy regulations, CSE will collect and process this sensitive personal information within the limits provided by the Act, and only after establishing reasonable security safeguards for such sensitive personal information. Where required by the Act, CSE will seek your consent before processing sensitive personal information.

03. HOW WILL WE USE ANY PERSONAL INFORMATION THAT WE COLLECT?

3.1 It will often be apparent from the context of how we intend to use your Personal Information.

3.2 All processing of Personal Information which we undertake is justified by a "condition" for processing. In most cases, processing will be justified on the basis that:

3.2.1 you have consented to the processing;

3.2.2 the processing is necessary to perform a contract or to take steps to enter into a contract;

3.2.3 the processing is necessary for us to comply with a relevant legal obligation;

3.2.4 the processing is in our legitimate commercial interests, subject to your interests and fundamental rights;

3.2.5 the processing is necessary to protect your vital interests or those of another person; or

3.2.6 the processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority..

3.3 The purposes for which we process your Personal Information include the following:

3.3.1 To provide you with specific services such as opening a securities account, trading on the Colombo Stock Exchange and other related services provided by the CSE Group such as but not limited to:

- CDS e-connect,
- SMS Alerts Facility and

- e-Statements
- Corporate Solutions related services

following a contract you are entering, or have entered with us;

3.3.2 To register you for other services provided by the Colombo Stock Exchange Group.

3.3.3 To carry out regulatory reporting or to disclose to other authorities as required by law [for instance, Securities and Exchange Commission of Sri Lanka (SEC), Central Bank of Sri Lanka (CBSL) and any competent court of law;

3.3.4 To provide you with newsletters or alerts where you have signed-up for these on the website's owned by the CSE Group

3.3.5 To conduct market research surveys, where you choose to participate in these;

3.3.6 To participate in events hosted by the CSE Group;

3.3.7. To control access to our premises.

3.3.8. To provide, operate, support, and manage access to trading platforms, issuer services, corporate secretarial systems, and related infrastructure, including account setup, authentication, and user management

3.3.9. To perform contractual obligations and respond to service requests, including trading, listing, disclosure, corporate governance, company formation, regulatory filings, and compliance support

3.3.10. To verify identity, conduct due diligence and background checks, authenticate users, and maintain security and integrity of accounts, systems, and corporate records

3.3.11. To administer billing, invoicing, customer support, stakeholder communications, and facilitate shareholder engagement and meeting management (e.g., notices, voting, minutes)

3.3.12. To comply with legal, regulatory, and contractual obligations, including anti-money laundering, sanctions, fraud prevention, market abuse monitoring, securities laws, and financial reporting requirements

3.3.13. To prevent, detect, investigate, and respond to financial crime, misconduct, cyber threats, and unauthorized disclosures, and to maintain market and corporate governance integrity

3.3.14. To communicate service updates, operational notices, regulatory announcements, marketing, educational outreach, and event invitations where permitted or consented to.

3.3.15. To conduct analytics, research, service improvements, product development, risk assessments, internal and external audits, and compliance monitoring.

3.3.16. To facilitate corporate transactions such as mergers, acquisitions, restructurings, and company secretarial transitions

3.3.17. To transfer personal and corporate data internationally or within group entities under applicable data protection safeguards

3.3.18. To retain data in accordance with statutory, regulatory, and operational requirements and to manage records such as statutory registers and shareholder lists

3.3.19. To defend legal rights, respond to legal claims, support investigations, and cooperate with regulators, law enforcement, and authorized third parties

3.3.20. To fulfill data subject rights and regulatory requirements, including responding to access, correction, deletion, or objection requests

Your data may be processed either electronically or in hard copy form.

3.4 We may send you direct marketing communications. Where these are electronic communications (email or telephone) we will have obtained your prior consent. In limited circumstances, where we have obtained your explicit prior consent, we may send you marketing communications to carefully selected products and services, which may be of interest to you.

You may opt-out of certain kinds of marketing, or all forms of marketing, by emailing us at the following address: dpo@cse.lk . Alternatively, you can click on the "opt-out" link provided in all our marketing emails and other communications.

04.DISCLOSURE OF YOUR PERSONAL INFORMATION

4.1 We may share your personal information within the CSE Group to provide you with our services. Access to your Personal Information is strictly limited to those employees of the CSE Group who need access to provide you with our services; to communicate with you (including, with your consent, to send you marketing communications); and to carry out legal or regulatory obligations.

4.2 We may also employ the services of third-party service providers to help us in certain areas, such as website hosting, physical security, marketing, and market research. Where third-party service providers receive your information, we will remain responsible for the use of your Personal Information. We take appropriate steps to ensure that such third parties treat your Personal Information with the same consideration that we do.

4.3 We may from time to time be required to disclose your Personal Information to applicable Sri Lankan law enforcement bodies, regulators such as SEC, CBSL or third parties under a legal requirement or court order. We act responsibly and take account of your interests when responding to any such requests.

05.RETENTION OF YOUR PERSONAL INFORMATION

5.1 We apply a general rule of keeping your Personal Information for as long as required to fulfill the purposes for which it was collected. However, in some circumstances, we may retain your Personal Information for longer periods, for instance where we are required to do so by legal and/or regulatory requirements.

5.2 In specific circumstances we may also retain your Personal Information for longer periods so that we have an accurate record of your dealings with us in the event of any complaints or challenges.

5.3 We maintain an Information Security Management System (ISMS) retention procedure which we apply to records in our care. In all cases, where your information is no longer required we will ensure it is disposed of

securely and, where required by applicable law, we will notify you when such information has been disposed of.

06.PROTECTION OF YOUR PERSONAL INFORMATION

6.1 CSE and its facilities have been Certified in information security management system namely: ISO|IEC 27001:2022 is internationally recognized in capacity of information security.

6.2 We will hold your Personal Information securely whilst it is under our control, including where it is processed by third-party service providers on our behalf. We train CSE employees in respect of their obligations under data protection laws, and we ensure that we will only share and disclose your personal information as listed in section 4 above.

6.3 We take the security of our physical premises, our servers, and the Website seriously and we will take all appropriate technical measures using recognized security procedures and tools following good industry practice to protect your personal information across all these platforms.

6.4 Whilst we use all reasonable endeavors to protect the security of your data in the manner described above, we consider that it is only appropriate to advise you that data transmission over the Internet and the World Wide Web cannot always be guaranteed as 100% secure, and therefore that you use the Website at your own risk.

07.YOUR RIGHTS

7.1 Subject to rights of the CSE Group as per the applicable laws, you may have some or all of the following rights in respect of your personal information:

7.1.1 to obtain a copy of your personal information together with information about how and on what basis that Personal Information is processed;

7.1.2 to rectify inaccurate Personal Information (including the right to have incomplete Personal Information completed);

7.1.3 to erase your Personal Information (in limited circumstances, where it is no longer necessary to the purposes for which it was collected or processed);

7.1.4 to restrict processing of your personal information where:

7.1.4.1 the accuracy of the Personal Information is contested;

7.1.4.2 the processing is unlawful, but you object to the erasure of the Personal Information;

7.1.4.3 we no longer require the Personal Information, but it is still required for the establishment, exercise or defense of a legal claim

7.1.5 to challenge processing which we have justified based on a legitimate interest (as opposed to your consent, or to perform a contract with you);

7.1.6 to prevent us from sending you direct marketing;

7.1.7 to withdraw your consent to our processing of your personal information.

7.1.8 to object to decisions that are based solely on automated processing or profiling.

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7.1.9 In addition to the above, you have the right to complain to the competent supervisory authority.

7.1.10 If you wish to investigate the exercising of any of these rights, please contact us using the details set out below.

7.1.11 Under the provisions of the General Data Protection Regulation and the Act Implementing the General Data Protection Regulation, if you believe that there has been a breach of your personal data or that your rights have been infringed, you have the right to contact the competent supervisory authority.

08.CHANGES TO THIS PRIVACY POLICY

8.1 Any changes we make to this Privacy Policy will be detailed on our Web site to ensure that you are fully aware of what Personal Information is collected, how it is used and under what circumstances it will be disclosed. Only the latest privacy policy will be listed on the CSE website.

09. INFORMATION ABOUT THE DATA CONTROLLER AND CONTACT DETAILS

9.1 In all cases, if you have any complaints or queries relating to the processing of your Personal Information by the CSE Group, or to exercise any rights in respect of your Personal Information, you should contact us in one of the following ways:

- By e-mail sent to dpo@cse.lk;
- By post to:

Data Protection Officer
Colombo Stock Exchange,
#04-01, West Block
World Trade Center, Echelon Square,
Colombo 01.
Tel: +94 11 2356456
Fax: +94 11 2445279
E-mail: info@cse.lk

Our Data Protection Officer is:

E-mail: dpo@cse.lk.

10.POLICY OWNERSHIP

10.1 The ownership of the policy shall be vested in the board. DPO shall be responsible to conduct annual or requirement based periodic reviews of the policy and its adherence. The CSE Group has the right to amend this Policy and align it with any changes and updates based on applicable regulations; it will ensure that the most recent version of the Policy is available on the CSE website www.cse.lk;

11.FURTHER INFORMATION

11.1 You can send a request for the exercise of said right by email or post to the above-mentioned address to the DPO.

11.2 The CSE Group has the right to ask for you to provide documents necessary for identification and verification of your identity as the person submitting the request. If the requests of the data subject are

manifestly unfounded or excessive (in particular, because of their repetitive character), we may charge a reasonable fee or refuse to act on the request.

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