

APPENDIX II

ONBOARDING AND MANAGING THE RELATIONSHIP AND ACCOUNTS

1.1 **Prospecting and relationship management** mainly includes the following purposes:

PURPOSES	LEGAL BASIS ALLOWING PROCESSING	DATA OBTAINED FROM THIRD PARTY	TRANSFERRING DATA TO A NON ADEQUATE COUNTRY
1.1.2 Event organisation and management of client interests	LEGITIMATE INTEREST (personalisation of relationship and quality of service)	NO	NO
1.1.3 Marketing campaigns	LEGITIMATE INTEREST (customer service)	NO	NO
1.1.4 Communication of information and bank-client exchanges	CONTRAT	NO	NO

1.2 **Onboarding and managing the banking relationship and accounts** mainly includes the following purposes:

PURPOSES	LEGAL BASIS ALLOWING PROCESSING	DATA OBTAINED FROM THIRD PARTY	TRANSFERRING DATA TO A NON ADEQUATE COUNTRY
1.2.1 Onboarding, tracking, and administering accounts	LEGAL OBLIGATION / CONTRACT	NO	NO
1.2.2 Classifying clients based on relationship ties for the purposes of adapting the offer and pricing	LEGITIMATE INTEREST (improving customer service)	NO	NO
1.2.3 Reporting to clients	CONTRACT	NO	NO
1.2.4 Relationship with external managers and business introducers	CONTRACT	NO	NO
1.2.5 Claims and litigation management	LEGITIMATE INTEREST	YES (Third party submitting the request: lawyers, bailiffs, non-client third parties according to the request)	NO
1.2.6 Management of dormant accounts	LEGITIMATE INTEREST	NO	NO
1.2.7 Treatment of exercise of rights	LEGAL OBLIGATION	NO	NO
1.2.8 E signature of documents	CONSENT	NO	NO

OFFERING AND MANAGING PRODUCTS AND SERVICES

2. **Offering and managing products and services** mainly includes the following purposes:

PURPOSES	LEGAL BASIS ALLOWING PROCESSING	DATA OBTAINED FROM THIRD PARTY	TRANSFERRING DATA TO A NON ADEQUATE COUNTRY
2.1 Advisory and wealth engineering activities	CONTRACT	YES (Group advisory)	NO
2.2 Securities transactions, investment, and life insurance activities	CONTRACT	YES (insurers, Group advisory, orders sent by power of attorney)	Receipt & execution of orders according to financial intermediaries
2.3 Credit activities	CONTRACT	Other banks for guarantees, notaries	NO
2.4 Cash transaction, payment, and payment method activities)	CONTRACT	YES (Beneficiaries/issuers)	YES Beneficiaries/issuers depending on the transaction
2.5 Online banking activities	CONTRACT	NO	NO
2.6 Safe deposit box management	CONTRACT	NO	NO
2.6 Activities relating to philanthropy, social and environmental responsibility and green finance	LEGITIMATE INTEREST	NO	NO

LOGISTICS MANAGEMENT (SAFETY AND SECURITY OF PEOPLE AND PROPERTY, ARCHIVE MANAGEMENT)

3.1 **Safety and security of people, property and information** mainly includes the following purposes:

PURPOSES	LEGAL BASIS ALLOWING PROCESSING	DATA OBTAINED FROM THIRD PARTY	TRANSFERRING DATA TO A NON ADEQUATE COUNTRY
3.1.1 Access and authorisation management	LEGITIMATE INTEREST (security of persons and property)	NO	NO
3.1.2 Videosurveillance management	LEGITIMATE INTEREST (security of persons and property)	NO	NO
3.1.3 Detection of data leaks	LEGITIMATE INTEREST	NO	NO
3.1.4 Business continuity plan	LEGITIMATE INTEREST	NO	NO

3.2 **Storage and archiving** mainly includes the following purposes:

PURPOSES	LEGAL BASIS ALLOWING PROCESSING	DATA OBTAINED FROM THIRD PARTY	TRANSFERRING DATA TO A NON ADEQUATE COUNTRY
3.1.1 Electronic and physical archives management (including professional email)	LEGAL OBLIGATION	NO	NO
3.2.2 Telephone recording management (landlines, mobile, SMS/MMS)	LEGAL OBLIGATION	NO	NO
3.2.3 Management of service provider contracts	LEGAL OBLIGATION	NO	NO

ADHERENCE TO LEGAL AND REGULATORY OBLIGATIONS

4.1 **Adherence to legal and regulatory obligations with respect to outside authorities** mainly includes the following purposes:

PURPOSES	LEGAL BASIS ALLOWING PROCESSING	DATA OBTAINED FROM THIRD PARTY	TRANSFERRING DATA TO A NON ADEQUATE COUNTRY
4.1.1 Exchange of information at the request of the authorities	LEGAL OBLIGATION	YES (Authorities submitting the request)	NO
4.1.2 Production of prudential and regulatory statements	LEGAL OBLIGATION	NO	NO
4.1.3 Management of tax reporting obligations and reporting to tax authorities	LEGAL OBLIGATION	NO	NO (except to duly authorised Authority)

4.2. **Adherence to legal and regulatory obligations with respect to internal auditing obligations** mainly includes the following purposes:

PURPOSES	LEGAL BASIS ALLOWING PROCESSING	DATA OBTAINED FROM THIRD PARTY	TRANSFERRING DATA TO A NON ADEQUATE COUNTRY
4.2.1 Management of anti money laundering regulatory obligations and terrorism prevention	LEGAL OBLIGATION	NO	NO
4.2.2 Supervision of operations on financial markets.	LEGAL OBLIGATION	NO	NO
4.2.3 Management and prevention of conflicts of interest	LEGAL OBLIGATION	NO	NO
4.2.4 Prevention and monitoring of fraud and corruption	LEGITIMATE INTEREST	NO	NO
4.2.5 Alert reporting systems	LEGITIMATE INTEREST	YES (whistleblower)	NO
4.2.6 Deployment and formalisation of controls (permanent control and periodic control) and management of operational risk mapping	LEGAL OBLIGATION	NO	NO

4.3. Purpose for the **"CFM Indosuez Wealth" Security Holders:**

PURPOSES	LEGAL BASIS ALLOWING PROCESSING	DATA OBTAINED FROM THIRD PARTY	TRANSFERRING DATA TO A NON ADEQUATE COUNTRY
4.3 Management of 'CFM Indosuez Wealth' Registry of Holders	LEGAL OBLIGATION	YES (Depositary institution)	NO