

## **PRIVACY NOTICE FOR CLIENTS/PROSPECTS**

### **1. Identity and Address.**

UBS BANK MÉXICO, S.A., I.B.M., UBS GRUPO FINANCIERO, UBS CASA DE BOLSA, S.A. DE C.V., UBS GRUPO FINANCIERO, UBS SERVICIOS, S.A. DE C.V., (jointly and severally hereinafter the "**Responsible**" and/or "**UBS**") with address located in Ave. Pedregal No. 24, 11<sup>th</sup> floor, Molino del Rey, Zip Code 11040, Mexico City, Mexico, in compliance with the Federal Protection Law regarding Personal Data held by Individuals ("Ley Federal de Protección de Datos Personales en Posesión de los Particulares", hereinafter, the "**Law**") UBS hereby gives you notice of the present Privacy Notice (hereinafter the "**Notice**") which purpose is to notify the terms and conditions of the treatment of your (i) Simple Personal Data, (ii) Financial Personal Data, and/or (iii) Sensible Personal Data (hereinafter jointly and severally as a general reference of the three types of personal data, hereinafter the "**Personal Data**", including specifically those that are detailed further on).

With regards to "Client and/or Prospect" the meaning of such terms means an individual that was, is, or may be Client and/or Prospect, or was, is or may be an individual that UBS provides or will provide him/her financial services. The relationship with the Client and/or Prospect is activated by the documentation that establishes such relationship between the Client and/or Prospect and UBS.

### **2. Personal Data submitted to the Treatment.**

The Simple or Financial Personal Data collected and to be treated are the following:

- Full name;
- Address and phone number and other information of personal contact;
- Date and place of birth;
- Nationality;
- Emergency contact and beneficiaries;
- Social security number;
- Tax identification;
- Gender;
- Job position;
- Details of Bank Accounts and the amount invested in those accounts;
- If the case, electronic signature;
- Credit profile;
- Real estate owned;
- Contracts;
- Financial statements; and

- If the case, equity participation and/or participation in the Mexican Stock Exchange, general information of the equity and securities investments.

The above mentioned Personal Data mentioned are collected from:

- Information that you directly provide;
- Information that UBS receives from the entities that are part of the Corporate Group of the Client and/or Prospect.
- Information that UBS may receive from third parties such as past services providers.

### **3. Purpose of the Personal Data Treatment.**

UBS makes of your knowledge that the Personal Data will be treated for the following purposes:

Set up relationship with the Client and/or Prospect to manage his/her investment portfolio.

- Evaluation;
- Analysis;
- Use;
- Manage;
- Disposition;
- Disclosure; and
- Access and storage by any media.

The above will be used by the Responsible to grant the Holder a determined service.

In accordance with point four of this Privacy Notice UBS does not sell, lease, or transfer your Personal Data to a distinct person other than the entities or subsidiaries of UBS.

The access to the Personal Data within UBS will be limited to those that require the information for the detailed purposes described in this Privacy Notice, and may include UBS's officers, their representatives, Finance and Accounting area, Legal and Compliance.

**Business Transactions:** Transaction and administration of the information technology (IT), systems and communication, product administration and development of services, improving product and services, strategic plans, project and maintenance administration of the registry related to the business' activities.

**Compliance:** Compliance of the legal requirements and UBS' internal policies, and other government or public authorities' requests

#### **4. Data Transfer.**

The Responsible gives notice that with the purpose to comply with the contractual, administrative, civil, commercial, and tax obligations the Responsible can transfer his/her Personal Data to third parties, in the understanding that these are obliged to maintain the confidentiality of the provided Personal Data and comply with the terms and conditions of the Privacy Notice. The Responsible may transfer the collected Personal Data to UBS' national or foreign entities or subsidiaries, which share internal policies and processes for the proper corporate management.

- Government entities and regulatory authorities such as Courts or security forces when the Law requires them; and
- Third parties regarding any proposal, reorganization, mergers, acquisitions, joint ventures, transfer or any other disposition of a partial or total of UBS' business assets or share certificates.

#### **5. Media and procedures to exercise the access, amendment, cancelation, and opposition rights (hereinafter the "ARCO Rights").**

In case of doubts or queries of how the Responsible processes your Personal Data, or if you wish to access, amend, suppress, copy, limit, cancel the use or eliminate your Personal Data contact UBS and request to UBS stop using them according to Law provisions, and contact Carmen Lozano González de León (hereinafter the "**Personal Data Manager**") or sending an e-mail to [protecciondedatospersonales@ubs.com](mailto:protecciondedatospersonales@ubs.com) specifying your name, address, and your petition, as well as for how you wish to exercise your ARCO rights established by Law by the request to the Personal Data Manager.

Once received the petition the duty manager will analyze according to the Law and UBS' internal politics. The duty manager shall answer the petition within 20 (twenty) business days, the duty manager may respond in an affirmative or in a negative way duly founded.

However, keep in mind, that certain Personal Data may be exempt of the ARCO rights according to the Data Protection Laws or other regulations.

#### **6. Limits to the use or divulgation of the Personal Data.**

You may at any moment revoke the approval granted in favor of UBS for the treatment, of your Personal Data. Besides, the settled forth procedure in the immediate section before you may limit the use or disclosure of your Personal Data in the following ways:

- Sending an e-mail to the Personal Data Manager with the petition to be registered in the "List of publicity exclusion", with the purpose to not receive promotional information of our product and services.

#### **7. Personal Data Department.**

The Responsible shall take appropriate measures to protect the Personal Data that are compatible to the laws and regulations regarding security and data privacy, including administrative secure measures, physical techniques, and those that obligate third parties with who we maintain a relationship in the terms of this Privacy Notice, these third parties count with the proper measures to protect the confidentiality and security of the personal data. It is made of knowledge that the security measures are identical as the Responsible one uses to store its own information and that all information is confidential derived from the nature of the services provided by the Responsible.

For any doubt that you have regarding the protection of your Personal Data, please contact the Personal Data Manager through the phone number that you can obtain from the following website:

[www.ubs.com/mexico](http://www.ubs.com/mexico)

All communication to such person shall generate a response ticket which you shall obtain via e-mail which will be sent to the address that UBS has on its records as a part of your information, on the contrary it is considered as not done.

#### **8. Procedures and media to change the Privacy Notice**

The Responsible shall modify this Privacy Notice with the purpose to improve the security in the data treatment, incorporate new measures that are provided by the law or the regulations. Any amendment to this Privacy Notice will be notified to the Client and/or Prospect giving him/her the actual Privacy Notice or via e-mail within 20 (twenty) business days after the implementation of the new Privacy Notice.

Personal Data Holder

Date:

Name:

Signature:

Contract number: