

# FREEDOM PRIME UK LTD PRIVACY NOTICE

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### Revision History

VERSION	REVISION DATE	SECTION REVISED	REASON FOR REVISION	DESCRIPTION OF REVISION

## Privacy Notice

### **Who We Are**

FREEDOM PRIME UK LTD (*'we' or 'us' or 'our'*) gather and process your personal information in accordance with this privacy notice and in compliance with the relevant data protection Regulation and laws. This notice provides you with the necessary information regarding your rights and our obligations, and explains how, why and when we process your personal data.

FREEDOM PRIME UK LTD's registered office is at 30 Churchill Place, Canary Wharf, London, United Kingdom, E14 5RE and we are a company registered in England and Wales under company number 13495620. Our designated Data Protection Officer/Appointed Person is Alexander Feoktistov, who can be contacted at [dpo@freedomprime.co.uk](mailto:dpo@freedomprime.co.uk).

### **Information That We Collect**

FREEDOM PRIME UK LTD processes your personal information to meet our legal, statutory and contractual obligations and to provide you with our products and services. We will never collect any unnecessary personal data from you and do not process your information in any way, other than as specified in this notice.

We process personal data related to natural persons who are our clients and potential clients, clients' representatives, decision-makers, directors, beneficial owners, controlling persons of legal entities.

#### ***The personal data that we collect from is:***

- Name
- Date of Birth
- Home Address
- Personal Email
- Business Email
- Home Telephone Number
- Mobile Telephone Number
- National Insurance Number
- Passport Number
- Driver's License Number
- Tax Information

#### ***We collect information in the below ways:***

Personal data collected by us from you via third persons or publicly accessible sources or available with us on the proper legal basis including but not limited to the data specified in the questionnaires, online forms, and other fill-in forms, data from contracts (including names, numbers and conclusion dates), data on the accounts opened with us or third parties, data on transactions and other operations performed by you or on behalf or for the benefit of you as well as updated and/or amended data received by us subsequently.

### **How We Use Your Personal Data (Legal Basis for Processing)**

FREEDOM PRIME UK LTD takes your privacy very seriously and we will never disclose, share, or sell your data without your consent, unless required to do so by law. We only retain your data for as long as is necessary and for the purpose(s) specified in this notice. Where you have consented to us providing you with promotional offers and/or marketing, you are free to withdraw this consent at any time. ***The purposes and reasons for processing your personal data are detailed below:***

**Purposes of personal data processing:**

- the conclusion/performance of a contract where you are party;
- compliance with a legal obligation to which we are subject;
- the legitimate interests pursued by us or by a third party (including but not limited to compliance with foreign regulatory requirements, conclusion/performance of contracts, marketing (including direct marketing) of financial products and services and products and services associated with them (trading platforms, market data services, etc.), security, the establishment, exercise or defense of legal claims).

We can be entitled to process personal data for the purposes other than specified herein with prior notification to you.

**Legal basis for the processing:**

- processing is necessary for the performance of a contract to which you are party or in order to take steps at the request of you prior to entering into a contract;
- processing is necessary for compliance with a legal obligation to which we are subject;
- processing is necessary for the purposes of the legitimate interests pursued by us or by a third party;
- you have given consent to the processing of your personal data for one or more specific purposes.

The purposes of and legal basis for the processing of personal data are also detailed in the Annex 1 hereto.

Please pay attention to the following rights you are entitled where your personal data is processed for the purpose and on legal basis of the legitimate interests pursued by the controller or by a third party: Right to receive additional information.

To rely on legitimate interests as a lawful basis for processing we must carry a balancing test to ensure that this legitimate interest are not overridden by your interests or fundamental rights and freedoms which require protection of personal data.

Information from the balancing test can be provided by us on your request.

**Right to object.**

Where the data processing is based on the legitimate interests pursued by us or by a third party you are entitled to object to such processing.

Especially note that you entitled to object against processing for the purpose of direct marketing and in case of such objection we shall terminate processing for such purpose unconditionally.

For more information about right to object refer to the Section "Right to object" (Article 21 of UK GDPR).

**Your Rights**

You have the right to access any personal information that FREEDOM PRIME UK LTD processes about you and to request information about:



- What personal data we hold about you
- The purposes of the processing
- The categories of personal data concerned
- The recipients to whom the personal data has/will be disclosed
- How long we intend to store your personal data for
- If we did not collect the data directly from you, information about the source

If you believe that we hold any incomplete or inaccurate data about you, you have the right to ask us to correct and/or complete the information and we will strive to do so as quickly as possible; unless there is a valid reason for not doing so, at which point you will be notified.

You also have the right to request erasure of your personal data or to restrict processing (*where applicable*) in accordance with the data protection laws; as well as to object to any direct marketing from us. Where applicable, you have the right to data portability of your information and the right to be informed about any automated decision-making we may use.

If we receive a request from you to exercise any of the above rights, we may ask you to verify your identity before acting on the request; this is to ensure that your data is protected and kept secure.

### **Sharing and Disclosing Your Personal Information**

We do not share or disclose any of your personal information without your consent, other than for the purposes specified in this notice or where there is a legal requirement. FREEDOM PRIME UK LTD uses third parties to provide the our services and business functions; however, all processors acting on our behalf only process your data in accordance with instructions from us and comply fully with this privacy notice, the data protection laws and any other appropriate confidentiality and security measures.

### **Safeguarding Measures**

FREEDOM PRIME UK LTD takes your privacy seriously and takes every reasonable measure and precaution to protect and secure your personal data. We work hard to protect you and your information from unauthorised access, alteration, disclosure or destruction and have several layers of security measures in place, including:

We utilize HTTPS to spread the data over the internet in an interception-proof way, which means that the information is protected via technology by design Article 25 of the UK GDPR. With the help of TLS (Transport Layer Security), an encryption protocol applied to spread data over the internet securely, we can guarantee that your data is protected and remains confidential. You can see that this data transmission security system is applied with a little lock symbol located in the browser's upper left corner as well as the "HTTPS" scheme used as a part of the website's address.

### **Processing and Transfers Outside the UK**

FREEDOM PRIME UK LTD utilise some products and services (*or parts of them*) that may be hosted/stored in the US, which means that we may transfer any information which is submitted by you through the website outside the United Kingdom for the provision of brokerage services to you.

Therefore, when you use our website and/or send us an email and/or sign up to our newsletter, the personal information you submit may be stored on servers which are hosted in the US. Where this is the case, we will take steps to ensure that those providers use the necessary level of protection for

your information and abide by strict agreements and measures to protect your data and comply with the relevant data protection laws.

FREEDOM PRIME UK LTD provides some of its products or services to individuals based in the European Union (EU) and some of the services may be coming from within the EU. As the UK is not established in the EU, we have appointed a representative who is established in the Republic of Cyprus. Our EU representative can be contacted regarding all issues relating to the processing of personal data within the EU.

Individuals or supervisory authorities based in the EU where the processing of personal data is conducted can contact:

Freedom Finance Europe Ltd  
Christaki Kranou 20, C Tower, 5th Floor  
4041 Germasogeia, Limassol Cyprus  
[dpo@freedomfinance.eu](mailto:dpo@freedomfinance.eu)

### **Consequences of Not Providing Your Data**

You are not obligated to provide your personal information to FREEDOM PRIME UK LTD. However, as this information is required for us to provide you with our services and/or deliver to you our products, we will not be able to offer our services without it.

### **How Long We Keep Your Data**

FREEDOM PRIME UK LTD only ever retains personal information for as long as is necessary and we have strict review and retention policies in place to meet these obligations. We are required under UK tax law to keep your basic personal data (*name, address, contact details*) for a minimum of 6 years after which time it will be destroyed.

We are required under FATCA rules to keep your basic personal data (*name, address, contact details*) for a minimum of 6 years starting from the end of the year when FATCA status of the client is identified.

We are required under CRS rules to keep your basic personal data (*name, address, contact details*) for a minimum of 6 years from the moment of identification of the country, where the client or its controlling persons are tax residents.

We are required under (Retained EU Legislation) Commission Delegated Regulation (EU) 2017/565 of 25 April 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council as regards organisational requirements and operating conditions for investment firms and defined terms for the purposes of that Directive to keep your telephone communications between us and you are recorded, and a copy of the recording of such conversations with the client and communications with the client will be available on request for a period of 5 years and where requested by the competent authority, for a period of up to 7 years.

Where you have consented to us using your details for direct marketing, we will keep such data until you notify us otherwise and/or withdraw your consent.

### **Marketing**

#### **CONSENT**

Occasionally, FREEDOM PRIME UK LTD would like to contact you with the products, services, invest



ideas that we provide. If you have consented to us using your contact details for this purpose via our website and/or completing relevant forms, you have the right to modify or withdraw your consent at any time by using the opt-out/unsubscribe options or by contacting FREEDOM PRIME UK LTD directly.

If you would prefer **not** to receive above-mentioned marketing and offers, please contact FREEDOM PRIME UK LTD directly.

### **Lodging A Complaint**

FREEDOM PRIME UK LTD directly only processes your personal information in compliance with this privacy notice and in accordance with the relevant data protection laws. If, however you wish to raise a complaint regarding the processing of your personal data or are unsatisfied with how we have handled your information, you have the right to lodge a complaint with the Commissioner.

FREEDOM PRIME UK LTD directly  
Alexander Feoktistov  
30 Churchill Place, Canary Wharf, London, United Kingdom, E14 5RE  
[dpo@freedomprime.co.uk](mailto:dpo@freedomprime.co.uk)

Information Commissioner's Office  
Wycliffe House, Water Lane, Wilmslow SK9 5AF  
Telephone: 0303 123 1113 (*local rate*) or 01625 545 745 (*national rate*)  
Fax: 01625 524 510  
Email: [enquiries@ico.org.uk](mailto:enquiries@ico.org.uk)

Annex 1 to the Data Protection  
 Notice

## Purposes of and legal basis for personal data processing of clients (in details)

No.	Personal data/Specific operation	Purpose	Legal basis (in accordance with Article 6 of UK GDPR)
1	Data as specified in the Questionnaire form and Form W-8BEN, data obtained as a result of the conclusion and performance of the Agreement for provision of investment and ancillary services concluded with the Controller and other agreements and contracts associated with conclusion and performance of the Agreement data on details of the contract, transactions and other operations made via the Controller.	Conclusion/performance of a contract where the Subject is party (Agreement for provision of investment and ancillary services concluded between the Subject and the Controller and other agreements and contracts associated with conclusion and performance of the Agreement).	Processing is necessary for the performance of a contract to which the data subject is party or in order to take steps at the request of the data subject prior to entering into a contract.



2	Personal data as required under the relevant the United Kingdom, the US or Member State law to which the Controller is still subject.	Compliance with a legal obligation to which the Controller is subject under t the United Kingdom, the US or Member State law (Prevention of money laundering and financing terrorism legislation; MIFID II, MIFIR, Law 87(I)/2017 regarding the provision of investment services, the exercise of investment activities and the operation of regulated markets and other Union and Member State laws regulating provision of investment services, the exercise of investment activities and the operation of regulated markets, Market Abuse legislation, FATCA and CRS as implemented in the United Kingdom and Union or Member State laws as may be applicable).	Processing is necessary for compliance with a legal obligation to which the controller is subject under Union law or Member State law.
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3.1.	<p>Personal data as required under applicable foreign regulatory requirements/contracts or as nature of the relevant legal claim may require.</p>	<p>Legitimate interests of the Controller or a third party involved in the provision of services to the client (intermediate broker, depositary, custodian, bank) to comply with the foreign regulatory requirements (in particular, laws of the United States of America and Russian Federation concerning taxation of income paid or credited to client's the account, FATCA-US law which has extraterritorial application and where it is applied in the third country to the extent admitted in that third country).</p> <p>Legitimate interests of the Controller to comply with tax laws of the United States of America.</p> <p>Legitimate interests of the Controller and or a third party to conclude and perform the contracts associated with provision of the Controller investment and ancillary services.</p> <p>The aforementioned shall not include cases where procession of personal data under the relevant regulatory requirements/contracts are required for the purpose of conclusion/performance a contract with the Client and consequently such processing falls under legal basis specified in item 2 above.</p> <p>Legitimate interests of the Controller and third parties associated with the establishment, exercise or defence of legal claims (potential legal claims) arisen out of or in connection with provision of services by the Controller.</p>	<p>Processing is necessary for the purposes of the legitimate interests pursued by the controller or by a third party. The legitimate interests are identified in the second column of this table.</p>
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3.2	Contact details	Marketing (including direct marketing) of financial products and services and products and services associated with them (trading platforms, market data services, etc.).	
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4	<p>Transfer of the Client's personal data to the third countries which are not recognized by the United Kingdom as countries ensuring adequate level of personal data protection by adoption a relevant decision for purpose specified in the second column of this table. Personal data to be transferred: personal data as required to provide compliance with FATCA (including but not limited to name, citizenship, address, tax residence, place and date of birth, taxpayer identification number, information regarding account(s) opened with the Company, account(s) balance, income paid or credited to the account(s) with the Company and gross proceed from sale or other distribution of financial assets credited to the account(s) with the Company, taxes withheld from income paid or credited to the account(s) with the Company). Personal data may be transferred in whole or in part by provision of the Self-Certification form contained herein or/and W-8BEN form or by submitting reports on Form 1042-S.</p>	<p>Provision of FATCA compliance by the Company's and any person that has control, receipt, or custody of income or that can disburse or make payments of income (where FATCA applied out of scope of FATCA Intergovernmental Agreement between the United Kingdom and USA)</p>	<p>The data subject has given consent to the processing of his or her personal data for one or more specific purposes. This legal basis shall not be applicable where the transfer is necessary for the performance of a contract between the data subject and the Company or the implementation of pre-contractual measures taken at the data subject's request or for the conclusion or performance of a contract concluded in the interest of the data subject between the Company and another natural or legal person (e.g. provision of information by the Company to the custodian/depositary where the Client's financial instruments are held or intended to be held). In such cases personal data could be transferred irrespective of the Client's consent.</p>
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			<p>The consent given above shall not be applicable where the transfer is necessary for the performance of a contract between the data subject and the Company or the implementation of pre-contractual measures taken at the data subject's request or for the conclusion or performance of a contract concluded in the interest of the data subject between the Company and another natural or legal person (e.g. provision of information by the Company to the custodian/depositary where the Client's financial instruments are held or intended to be held). In such cases personal data could be transferred irrespective of the Client's consent.</p>
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Purposes of and legal basis for personal data processing of directors, decision-makers, beneficial owners and controlling persons of clients which are legal persons and representatives of clients.

No.	Personal data/Specific operation	Purpose	Legal basis (in accordance with Article 6 of UK GDPR)
1	Personal data as required under the relevant the United Kingdom, the US or Member State law to which the Controller is subject.	Compliance with a legal obligation to which the Controller is subject under Union law or Member State law (Prevention of money laundering and financing terrorism legislation; MIFID II, MIFIR, Law 87(I)/2017 regarding the provision of investment services, the exercise of investment activities and the operation of regulated markets and other Union and Member State laws regulating provision of investment services, the exercise of investment activities and the operation of regulated markets, Market Abuse legislation, FATCA and CRS as implemented in the United Kingdom and Union or Member State laws as may be applicable).	Processing is necessary for compliance with a legal obligation to which the controller is subject under Union law or Member State law.

2.1.	<p>Personal data as required under applicable foreign regulatory requirements/contracts or as nature of the relevant legal claim may require.</p>	<p>Legitimate interests of the Controller, a client or a third party to conclude and perform the following contracts: Agreement for provision of investment and ancillary services between the client and the Controller and other agreements and contracts associated with conclusion and performance of the Agreement, Contracts concluded between the Controller and third persons involved in the client's servicing such as brokers, custodians, depositaries, banks, trading venues including third country trading venues, software and market data providers.</p> <p>Legitimate interests of the Controller or a third party involved in the provision of services to the client (intermediate broker, depositary, custodian, bank) to comply with the foreign regulatory requirements (in particular, laws of the United States of America and Russian Federation concerning taxation of income paid or credited to client's the account, FATCA - US law which has extraterritorial explication and where it is applied in the third country to the extent admitted in that third country).</p> <p>Legitimate interests of the Controller and third parties associated with the establishment, exercise or defence of legal claims (potential legal claims) arisen out of or in connection with provision of services by the Controller.</p>	<p>Processing is necessary for the purposes of the legitimate interests pursued by the controller or by a third party. The legitimate interests are identified in the second column of this table.</p>
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2.2.	Contact details	Marketing (including direct marketing) of financial products and services and products and services associated with them (trading platforms, market data services, etc.)
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3	<p>Transfer of the Client's personal data to the third countries which are not recognized by the United Kingdom as countries ensuring adequate level of personal data protection by adoption a relevant decision without appropriate safeguards. The personal data shall be transferred to the extent necessary for the achievement of the relevant purposes.</p>	<p>Legitimate interests as specified in point 2.1. above except of legitimate interests in relation to legal claims as the transfer for the establishment, exercise or defence of legal claims is allowed under Article 49 of UK GDPR.</p>	<p>The data subject has given consent to the processing of his or her personal data for one or more specific purposes.</p>
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Purposes of and legal basis for personal data processing of donors.

No.	Personal data/Specific operation	Purpose	Legal basis (in accordance with Art. 6 of UK GDPR)
1	<p>Personal data as required under the relevant the United Kingdom or Member State law to which the Controller is subject.</p>	<p>Compliance with a legal obligation to which the Controller is subject under the United Kingdom or Member State law (Prevention of money laundering and financing terrorism legislation; Market Abuse legislation and other Union or Member State laws as may be applicable).</p>	<p>Processing is necessary for compliance with a legal obligation to which the controller is subject under the United Kingdom or Member State law.</p>
2.1.	<p>Personal Data as may be required for the relevant purposes.</p>	<p>Conclusion/performance of a contract where the Client (Donee) is a party (Agreement for provision of investment and ancillary services between the client and the Controller and other agreements and contracts associated with conclusion and performance of the Agreement). Legitimate interests of the Controller and third parties associated with the establishment, exercise or defence of legal claims (potential legal claims) arisen out of or in connection with provision of services by the Controller.</p>	<p>Processing is necessary for the purposes of the legitimate interests pursued by the controller or by a third party. The legitimate interests are identified in the second column of this table.</p>