



NOMURA

Privacy Policy

Nomura Securities Representação Ltda.

JULY 2023

STRICTLY PRIVATE AND CONFIDENTIAL

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PRIVACY POLICY

Nomura Securities Representação Ltda. and other companies of Nomura Group (collectively, "Nomura") is committed to respecting your privacy and has prepared this privacy policy ("Policy") to explain what Data is collected and how it is processed by Nomura.

This Privacy Policy sets out the basis on which we will process any personal data related to you, that you provide to us via the website available at <https://www.nomura.com/> and our other corporate group websites (collectively, the "Website"), or that we collect through other means and to the extent permitted by law.

For this Policy purposes, "Users" are all individuals that use Nomura's Website in any way or have their data collected through other means connected to the provision of Nomura's services (including clients, prospective clients, and job applicants).

We do not collect or knowingly request data from minors under the age of 18 (eighteen), except when hiring trainees and interns under this age, for inclusion of dependents in the withholding tax deduction form and health insurance plans, and eventually for management of people in Nomura's events. Users under the age of 18 (eighteen) must not send us data through our Website. If we learn that we collected data from an individual under the age of 18 (eighteen) other than established above, we will disregard the data provided and will not keep it on our database.

For the proper use of the Website and provision of our services, we need to have access to certain personal data about you (collectively, the "Data").

This Policy explains, in a simple, objective, and transparent manner, which Data are collected and processed by Nomura, its purposes, with whom it may be shared and what resources are available for Users to manage the Data.

What this Policy covers:

- 1. What Data we collect and process**
- 2. Why we collect and process these Data**
- 3. When we delete your Data**
- 4. Who else has access to the Data and why**
- 5. What are your rights with respect to these Data**
- 6. How we store and protect your Data**
- 7. Do you need to provide your consent for Nomura to use your Data as described in this Policy?**
- 8. Website of third parties**
- 9. Changes to this Policy**
- 10. How to make a complaint**

According to Law No. 13,709 of 2018 (the Brazilian General Personal Data Protection Law, or the “LGPD”), Nomura is considered the “Controller” of your Data. After reading this Policy, if you still have any questions or, for any reason, need to contact us for matters involving your Data, please, use the channel below:

Data Protection Officer (“DPO”): Alexander Solo
DPO’s email address: Americasprivacy@nomura.com

1. What Data we collect and process

Nomura receives or collects only the following types of information related to the Users: **(1)** data of clients; **(2)** data of job applicants; and **(3)** data of visitors or users of our Website.

1.1. Data of clients: Data related to Users who are clients or prospective clients, collected through the Website or other means:

- full name;
- email address;
- telephone number;
- company; and
- any other information you choose to provide

1.2. Data of job applicants: Data related to Users who are job applicants:

- full name;
- email address;
- residential address;
- telephone number;
- birth date;
- civil status;
- nationality;
- professional background;
- educational background;
- courses;
- honors;
- awards;
- languages; and
- photo.

1.3. Data of visitors of the Website: Data collected through technologies such as cookies, pixels and beacons when Users interact with the Website, such as:

- technical data, such as URL information;
- cookie data;
- your IP address;

- browser type;
- browser language;
- date and time of request;
- device attributes;
- type of network connection;
- data that allows the management of digital copyrights;
- the operating system; and
- geolocation

2. Why we collect and process these Data

We use User Data for the following purposes:

Data	Purpose
<p>Data of Clients</p>	<ul style="list-style-type: none"> • Intermediate the relationship between potential investors and clients seeking advisory/capital raising; • Advisory services on capital raising; • Engage new clients to Nomura; • Arrange the execution of contracts with clients; • Conduct research and analysis; • Comply with legal and/or regulatory obligations; • Respond to questions and concerns; • To contact the client (by email, mail, text messages and/or telephone) about several matters, including the use of the Website and/or to carry out customer satisfaction surveys; • To send messages with information and offers about products or services; • To sign you up for Events; • For advertising and marketing; and • To generate knowledge, innovate and/or develop new products.
<p>Data of Job Applicants</p>	<ul style="list-style-type: none"> • To process job applications; • To carry out the hiring process; • To communicate with applicants or potential job applicants selected for job openings; • To sign you up for Events; • To sign you up for trainings; • Occasionally, for background checking candidates, as permitted by law.

Data of Visitors of the Website

- To ensure the correct functioning of our services to support our customers' analytical efforts;
- Manage and improve our Website, our web resources, as well as simplify the interaction with User;
- To comply with legal obligations;
- To help us understand your patterns of use of our Website and improve it;
- To recommend to User services or features of the Website, and even third-party services, which may be interesting to User.

We do not use User Data for any purposes other than those described above.

3. When we delete your Data

We structure the Website and our activities to avoid that your Data be retained in an identified manner for longer than necessary.

4. Who else has access to the Data and why

We do not sell or market your Data. However, we may from time to time share your Data with third parties, as detailed below.

Some of these third parties may be located abroad. If your Data is transferred to another country, we will take the measures required by law to ensure its protection, but please keep in mind that when using our Website and providing us with your Data, such Data may be sent to other countries.

Third Party	Type of Data Shared	Sharing Purpose
Other Nomura Group Companies	<ul style="list-style-type: none"> • Data of clients; • Data of job applicants; • Data of visitors of the Website. 	<ul style="list-style-type: none"> • Hiring process; • Client onboarding; • Execution of contracts; • Marketing, prospecting, researches of market, opinion and promotion of our products and services; • Prevention and resolution of technical or security problems; and • Compliance with legal or regulatory obligation

Judicial, police or governmental authorities or other third parties with whom we are required by law, rule or court order to share Data

In case of sale or transfer of part or the entire business, operation or services provided by us to a third party, in case of corporate restructuring, we reserve the right to disclose your Personal Data to the potential purchaser before or after the sale.

- Data of clients;
- Data of job applicants;
- Data of visitors of the Website.

- Compliance with a court order, or order of an authority or supervision body; and
- Compliance with legal or regulatory obligation

- Data of clients;
- Data of job applicants;
- Data of visitors of the Website.

- For purposes of due diligence or carrying out of the transaction.

5. What are your rights with respect to these Data

Pursuant to the LGPD, you have the right to:

- **Obtain confirmation that we process your Data.** In response to this request, we will inform you if we process your Data or not. Note that, if you are our client (User), we necessarily process your Data, as explained in this Policy.
- **Access your Data.** If you are interested, you can receive a report in which we present the Data held by you that are processed by us.
- **Rectify incomplete, inaccurate or outdated Data.** If you consider that your Data are incorrect, you can request the rectification, indicating what needs to be changed and why. It is possible that we request a proof to make this change.
- **Request the anonymization, blocking or erasure of Data deemed unnecessary, excessive or processed in breach of the LGPD.** If you consider that we are processing your Data in an unnecessary and excessive manner or in breach of the LGPD, you can request that the Data be anonymized, blocked or erased.
- **Request portability of your Data to another service or product supplier, with due regard for our trade and industrial secrets, according to the regulation to be issued by the National Data Protection Authority (“ANPD”).** You are the owner of your own Data. Therefore, you can request that these Data be transferred to another service or product supplier, according to ANPD’s regulation,

provided that the trade and industrial secrets are respected.

- **Request erasure of Data processed on the basis of your consent, except in the events of retention of Data prescribed by law.** If your Data are processed based on consent, you may request the erasure of these data. However, the LGPD authorizes the preservation of data for fulfillment of legal or regulatory obligations; studies conducted by research bodies, ensuring, if possible, the anonymization; transfer to a third party and exclusive use by the controller, to the extent that the data be anonymized.
- **Obtain information about the entities with whom we share your Data.** You can request that we inform with which entities we share your Data.
- **Obtain information about the possibility of refusing consent and the respective consequences.** When the consent is used as legal basis for the processing of personal data, you are entitled to be informed about the possibility of refusing consent and the consequence of such refusal.
- **Withdraw your consent to the processing of your Data.** If your Data are processed based on consent, you can withdraw this consent. With that, any processing of your Data that is made based on consent will be interrupted.
- **Object the processing that violates the LGPD.** If you consider that we are processing your Data in violation of the LGPD, you can object this processing. The request will be carefully reviewed and, if we agree, the processing of your Data that is in breach of the LGPD will be interrupted.
- **Request the revision of decisions taken solely based on the automated processing of your Data.** It is possible that decisions are taken based in the automated processing of your Data. If this happens, you can request the revision of these decisions.
- **File a petition regarding your Data with the National Data Protection Authority.** If you consider necessary, you can file a petition regarding your Data with the ANPD.

You can exercise any rights above by sending an email to Alexander Solo at Americasprivacy@nomura.com

Before answering a request for exercise of the abovementioned rights, we can request that you provide us with some information to confirm your identity.

6. How we store and protect your Data

We store your Data in a secure manner in Nomura Holding America's and its vendors' data centers located in in the United States and Ireland. Before sending your Data for storage in other countries, we adopt the measures required by law to ensure that they will be protected accordingly.

The security of your information is of utmost importance to us. We have in place the best technical and administrative practices to protect the Data against unauthorized access, destruction, loss, alteration, communication or any inadequate or unlawful processing.

Nevertheless, no platform is completely secure. If you have any concern or suspicion that your Data are at risk, for example, if someone had access to your password, please contact us immediately.

7. Do you need to provide your consent for Nomura to use your Data as described in this Policy?

LGPD establishes several situations in which processing of personal Data is allowed regardless of the consent of the data subject. These are the so-called “legal bases for processing of Data.”

This means that, if you choose to use our resources, in some cases we may collect and process your Data without your consent (if there is a legal basis provided for in LGPD that allows us to do so), such as, for example, to perform measures prior to contracting or signing an agreement with you, to comply with legal and regulatory obligations, to exercise rights established in an agreement or required by judicial, administrative and arbitration proceedings, credit protection, to guarantee protection against fraud and security of the data subject, in the identification and authentication processes of registration in electronic systems, for the legitimate interests of Nomura or third parties, among others.

In other cases, we may ask for your consent to use your Data. Please note that the revocation of your consent will obligate us to cease the processing of Data done exclusively based on your consent.

8. Websites of third parties

We may provide links to other websites on the Internet as a resource for our Users. Nomura is not responsible for these websites and content, and does not share, subscribe, monitor, validate or accept the way used for these websites or content storage tools to collect, process, and transfer your personal and private data. The data or content of such other websites are governed by the privacy statements of such other websites. We encourage you to check the privacy policies of said websites to be properly informed on how your personal data is used by other websites or other tools.

9. Changes to this Policy

We may change the provisions of this Policy at our discretion and at any time.

Whenever this Policy is changed substantially, such changes will be valid, effective and binding after: (1) they are posted on Nomura website; (2) they are emailed to Users; and/or (3) they are informed to Users by any other means.

Users must check the updated version of this Policy every time they visit our Website.

10. How to make a complaint

You may file a complaint through Nomura’s channel provided above.

You may also send a message to the National Data Protection Authority.