PERSONAL DATA PROCESSING ACTIVITIES

Processing of the data of senior personnel from the bodies of securities markets and other entities

- Purposes of the processing:

To maintain an organised record for consultation purposes of the data of members of governing bodies and senior personnel of bodies and entities associated with securities markets and the CNMV's activities.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Members of the governing bodies and senior personnel of the CNMV, Banco de España, the Ministry of Economy, the CNMV Advisory Committee, the Stock Exchange Governing Bodies, the Securities Clearing and Settlement Service, public certifying officials, regulatory and supervisory authorities of the securities markets in foreign countries and other entities with which the CNMV has institutional relations.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), phone number, postal and email address, entity and job title.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of the data of directors and senior managers of issuing entities, investment firms, collective investment scheme management companies and venture capital companies

- Purposes of the processing:

To maintain an organised record for consultation purposes of the data of directors and senior managers of issuers of securities, investment firms (IFs) and collective investment scheme (CIS) and venture capital (VC) management companies, who are required to be included in the CNMV's registers.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Directors and senior managers of the aforementioned entities.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), phone number, postal and email address, entity and job title.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of the data of tied agents of investment firms

- Purposes of the processing:

To maintain an organised record for consultation purposes of the data of tied agents of investment firms (IFs) and their shareholders, including each shareholder's percentage of holding in the capital of the IF's tied agent, which are required to be included in the CNMV's registers.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Legal persons acting as tied agents, directors and senior managers of legal persons acting as tied agents of investment firms (IFs) and shareholders of tied agents of investment firms.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), phone number, postal and email address, entity and job title, representation details and, in the case of shareholders of tied agents of investment firms, their percentage of holding in the capital of the entity.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of the data of direct and indirect unitholders of collective investment scheme and venture capital management companies, investment firms and venture capital companies

- Purposes of the processing:

To maintain an organised record for consultation purposes of the data of unitholders and their percentage of holdings in the capital of collective investment scheme (CIS) and venture capital management companies, investment firms (IFs) and venture capital (VC) companies, which are required to be included in the CNMV's registers.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Direct and indirect unitholders of collective investment scheme and venture capital management companies, investment firms and venture capital companies.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), phone number, postal and email address, entity and percentage of direct and indirect holdings.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of the data of significant unitholders in issuing companies, investment funds and venture capital funds

- Purposes of the processing:

To maintain an organised record for consultation purposes of the data of unitholders and their significant holdings in issuing companies, investment funds and venture capital funds, which are required to be included in the CNMV's registers.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

All unitholders who are legally required to report changes in their holdings in issuing companies, investment funds and venture capital funds.

- Personal data collection methods:

Personal data are collected from paper or digital statements or forms.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), phone number, address and direct or indirect holding in the aforementioned entities.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of the data of providers, clients and subscribers

- Purposes of the processing:

To manage and monitor providers, clients, subscribers and other parties involved in transactions for the provision and acquisition of goods and services.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.
Compliance with a legal obligation.
The performance of a contract.
The data subject's consent.

- Categories of data subjects (persons or groups whose data are processed):

Providers, clients and subscribers of CNMV services, as well as any other parties that provide goods or services to, or acquire goods or services from, the CNMV.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), phone number, postal and email address, goods and services provided by the data subject, goods and services received by the data subject and bank details.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of the data of CNMV staff

- Purposes of the processing:

To ensure the comprehensive and proper management of CNMV staff, including payroll, deductions, employee benefits, promotions and attendance monitoring.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.
Compliance with a legal obligation.
The performance of a contract.

- Categories of data subjects (persons or groups whose data are processed):

Permanent and temporary staff employed by the CNMV to provide services.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), Social Security number, mutual insurance, marital status, date and place of birth, family details, licences, permissions, authorisations, training, qualifications, professional experience, professional category/level, job title, payroll-related financial information, expense allowance details and bank account details for the payment of remuneration.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

The Spanish Tax Administration Agency, General Treasury of Social Security, National Employment Institute, National Social Security Institute, employers' mutual insurance association, General Comptroller of the State Administration, Court of Auditors, banking institutions and insurance companies, in accordance with current regulations.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of CNMV internal management data

- Purposes of the processing:

To maintain an organised record for the purposes of effective internal management of the data required for the administration of data network users, emails, the management and lending of documents, access control for CNMV staff and external staff entering CNMV offices and staff selection.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.
Compliance with a legal obligation.
The performance of a contract.
Legitimate interest.

- Categories of data subjects (persons or groups whose data are processed):

Permanent and temporary staff employed by the CNMV to provide services. Employees of companies that provide services to the CNMV at its offices. Persons who enter the CNMV's offices. Persons who participe in staff selection processes.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), postal and email address, fingerprints (where applicable), training, qualifications, professional experience, data network activity, images of the persons captured by video surveillance cameras, fingerprint image data and identifying details of the company for which the persons provide services (where applicable).

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of data from the VIRTUAL OFFICE's register of incoming/outgoing documents and users

- Purposes of the processing:

To manage the CNMV Virtual Office's incoming documents.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.
Compliance with a legal obligation.
Legitimate interest.

- Categories of data subjects (persons or groups whose data are processed):

Natural persons or entity representatives who are CNMV Virtual Office users.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), postal and email address, job title at their entity and submission details.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of data from the CIFRADOC/CNMV's register of incoming/outgoing documents and users

- Purposes of the processing:

To manage the CNMV's register and flow of incoming and outgoing paper and electronic documents, as well as the register of persons authorised to use the CIFRADOC/CNMV electronic signature system to submit data to the CNMV.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.
Compliance with a legal obligation.
Legitimate interest.

- Categories of data subjects (persons or groups whose data are processed):

Natural persons or entity representatives who exchange documents with the CNMV.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), postal and email address, job title at their entity and submission details.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of complaints data

- Purposes of the processing:

To effectively manage complaints submitted to the CNMV complaints service.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Persons who submit complaints to the CNMV or are the subject of complaints.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), postal and email address and complaint details.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of requests data

- Purposes of the processing:

To carry out the duties of supervising and inspecting securities markets and the activities of all natural and legal persons operating within them, as required by securities market legislation.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Persons involved in the securities markets who are the subject of a CNMV request.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s) and request details.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of enquiries and requests data

- Purposes of the processing:

To effectively manage enquiries and requests for information sent by investors to the CNMV.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.
Consent.

- Categories of data subjects (persons or groups whose data are processed):

Persons and investors who contact the CNMV with enquiries or requests for information or documents, and who wish their identification and contact details to be retained for future contact or to receive information.

- Categories of personal data subject to processing:

Spanish national identity document, tax identification number, first name and surname(s), postal and email address, entity on whose behalf the enquiry is being made and enquiry or request details.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of disciplinary proceedings data

- Purposes of the processing:

To supervise securities markets and exercise sanctioning powers in accordance with the powers conferred on the CNMV by securities market legislation.
To maintain an organised record for consultation purposes of the data on sanctions imposed on natural and legal persons who have committed infringements and are subject to the supervision, inspection and sanctions provided for in Title IX of Law 6/2023 of 17 March on Securities Markets and Investment Services.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Persons involved in disciplinary proceedings that have been formally concluded.

- Categories of personal data subject to processing:

Administrative infringements and sanctions, Spanish national identity document, tax identification number and first name and surname(s).

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

None.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of data in public warnings regarding unauthorised entities and natural persons

- Purposes of the processing:

To provide the public with the information necessary for investor protection, in accordance with securities market legislation.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Directors, authorised representatives and other natural persons who, where applicable, are associated with entities that are not authorised to provide services or conduct activities reserved for entities duly registered in the administrative registers maintained by the CNMV, as well as natural persons who are not authorised to provide such services or conduct such activities. This includes persons identified through the documentation generated during investigations into unauthorised entities or natural persons, conducted by the CNMV or by supervisory bodies from other countries.

- Categories of personal data subject to processing:

The entity's name, postal address and website, as well as the name, surname(s), job title or power of attorney of the natural persons associated with the entity, and/or the corporate name of the legal persons associated with the entity. In the case of unauthorised natural persons, their first name and surname(s). Details of the circumstances surrounding the warning. Automated processing.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

Public files available through the warnings published on the CNMV website.
Data may be transferred to the competent authorities of other countries as part of international cooperation in the supervision of the securities markets.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of data from reports of potential infringements

- Purposes of the processing:

To effectively manage reports of potential securities market infringements submitted through the channels designated for this purpose.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Any person who reports a potential infringement of securities market rules to the CNMV, as well as all the data of those affected by the reports.

- Categories of personal data subject to processing:

Details of the person making the report, including their first name and surname(s), postal and email address and phone number, the details of persons who may be affected by the reports and the details of any conduct, actions or facts that may constitute breaches of securities market rules.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

Data may be transferred to the competent authorities of other countries as part of international cooperation in the supervision of the securities markets.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of data from activities included in the financial education plans

- Purposes of the processing:

To effectively manage the activities set out in the Financial Education Plan.

- Legal basis:

The performance of a task carried out in the public interest or in the exercise of official authority.
Compliance with a legal obligation.
The performance of a contract.
Consent.

- Categories of data subjects (persons or groups whose data are processed):

Entities that collaborate on planning, designing and implementing the financial education plans. Participants in the planned activities in particular, as well as participating schools, students, parents and guardians.

- Categories of personal data subject to processing:

Data subject details: Spanish national identity document, tax identification number, first name and surname(s), postal and email address and phone number.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

Entities that collaborate on implementing the education plans.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

For activities carried out with other collaborating entities, data processing will be subject to a joint controllership arrangement.

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of data from the exercise of data subject rights and data protection enquiries and complaints

- Purposes of the processing:

To effectively manage requests from data subjects to exercise their rights, as well as data protection enquiries and complaints.

- Legal basis:

Compliance with a legal obligation.

- Categories of data subjects (persons or groups whose data are processed):

All data subjects whose personal data are processed by the CNMV.

- Categories of personal data subject to processing:

Data subject details: Spanish national identity document, tax identification number, first name and surname(s), postal and email address and phone number.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

The Spanish Data Protection Agency.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose, in addition to the periods established in the archives and documentation regulations.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing of CNMV contact data

- Purposes of the processing:

To manage the CNMV's contacts for the purpose of maintaining the professional relationships involved in their duties.

Legal basis:

Compliance with a legal obligation or the performance of a task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Shareholders, members of management and senior management, representatives and employees of entities that maintain professional contact with the CNMV; public officials and employees from other domestic and foreign bodies; providers and collaborators; staff; students/interns and members of the public.

- Categories of personal data subject to processing:

Identification data: first name and surname(s). Professional contact details: phone number and business address and email address. Academic and professional details: job title and company.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

The data may be disclosed to service providers who have been duly authorised by the CNMV. They may also be disclosed to the competent administrative and judicial authorities to comply with legal provisions.

No international data transfers are envisaged. If any such transfers do take place, they will be duly legitimised.

- Data retention periods:

Personal data provided will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose or from the processing of the data.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.

Processing relating to data extraction from audits and annual accounts of CISs-VCFs and CISMCs-closed-end CISMCs (PoC)

- Purposes of the processing:

Extraction of unstructured, publicly available data from the audits and annual accounts of CISs-VCFs and CISMCs-closed-end CISMCs using artificial intelligence (AI), and presentation of that data in structured formats to support supervision performed under human oversight.

- Legal basis:

A task carried out in the public interest or in the exercise of official authority.

- Categories of data subjects (persons or groups whose data are processed):

Shareholders or members of the supervised entities and/or their groups and persons associated with the entities (directors, senior managers, auditors, etc.).

CNMV employees.

- Categories of personal data subject to processing:

External auditor data: first name and surname(s), professional registration number, signature and audit opinion. Director and senior manager data: first name and surname(s), job title, and, in some cases, remuneration and related transactions. First name and surname(s) of shareholders or unitholders holding a stake of more than 5%, and, in some cases, related-party transaction data.

CNMV employee data: first name and surname(s), job title and activities performed. IP address, connection data and data relating to use of the AI tool.

- Categories of recipients to whom the personal data will be disclosed, and, where applicable, envisaged transfers of data to third countries:

The data may be disclosed to service providers who have been duly legitimised.

Open AI Ireland Ltd., Open AI LLC (USA).

If any other international transfers take place, they will be duly legitimised.

- Data retention periods:

The data will be kept for the time necessary to fulfil the purpose for which it is collected and to determine any potential liabilities that may arise from such purpose or from the processing of the data. The provisions of filing and documentation regulations shall be applicable.

- Data Controller, Joint Controllers and Data Protection Officer:

Comisión Nacional del Mercado de Valores, Tax Identification Code (CIF) Q-2891005-G, Calle Edison no. 4, 28006 Madrid, Phone no.: 91 585 15 00. Data Protection Officer: dpd@cnmv.es

- Security measures:

The measures set out in Spanish Royal Decree 311/2022, of 3 May, which regulates the National Security Scheme.