



## Data Protection Principles

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Version of 19 June 2023

The protection of your privacy, the confidentiality and security of your data, as well as transparent information on how we handle it, are of great importance to SWISS CAPS AG (hereinafter "Swiss Caps" or "we"), Member of the Aenova Group.

This privacy policy informs you about the nature and purpose of the processing of personal data by us. Personal data includes the name and contact details of a person, as well as other information that can be attributed to a person.

### 1 Scope of this privacy policy

This Privacy Policy applies to the processing of personal data that we receive and process in connection with our business activities.

For personal data that we process in connection with pharmacovigilance or the use of our website, the data protection provisions on the website <https://www.aenova-group.com/de/datenschutz> also apply.

### 2 Responsible party for data processing

Responsible for the processing described here is:  
SWISS CAPS AG, Husenstrasse 35, 9533 Kirchberg (SG), Switzerland.

### 3 What personal data do we process and for what purposes?

#### 3.1 General

We mainly process personal data that we receive from and about our business partners in the course of our business relationships. We use the data for the purposes set out in this privacy policy. In addition, where permitted by law or where we or third parties have a legitimate interest relevant to the purpose, we process personal data for the following purposes:

- Assertion of legal claims and defence in connection with legal disputes and official proceedings;
- Prevention and investigation of criminal offences and other misconduct (e.g. conducting internal investigations, data analysis to combat fraud);

- Protecting employees and others; ensuring the operation, and security of IT, buildings, facilities and assets (such as access controls, visitor lists, network and mail scanners);
- Purchase and sale of businesses, companies or parts of companies and other corporate transactions;
- Risk management and prudent corporate governance and development;
- Compliance with laws, directives and recommendations of authorities and internal regulations of the Aenova Group.

Insofar as we require a legal basis for the processing of personal data, we rely on your consent (within the meaning of Art. 6 No. 1 lit. a DSGVO) or we process your personal data for the initiation or fulfilment of a contract (within the meaning of Art. 6 No. 1 lit. b DSGVO), to comply with legal requirements (within the meaning of Art. 6 No. 1 lit. c DSGVO) or to protect the legitimate interests of us or third parties (within the meaning of Art. 6 No. 1 lit. f DSGVO). A legitimate interest lies in particular in fulfilling the purposes described in this data protection declaration and being able to implement corresponding measures.

### **3.2 Communication**

We receive personal data when you contact and communicate with us by post, telephone, via our e-mail addresses, video telephony, in person on site or otherwise. This data includes, but is not limited to, your name, contact details, information about your role in the organisation you work for or on whose behalf you are communicating with us and your communication to us (for example, information about your concerns).

Such voluntarily submitted data will be stored and processed for the purpose of processing your request or communicating with you.

If you provide us with personal data about other persons (e.g. employees), you are responsible for ensuring that the person has been informed accordingly.

### **3.3 Data from business partners**

In the course of our business activities, we process personal data of customers, suppliers and other business partners. This data includes:

- Master data and contact details, such as first name, surname and contact details of contact persons, position and title, associated company/job, industry, any cross-connections (e.g. shareholders or related persons), creditworthiness data, references and other background information;
- Contractual data such as information on the conclusion, processing and termination of contracts, performance and billing data, bank details, insurance coverage.

- Communication data such as interactions with existing, former and potential business partners or in connection with the contracts, documentation and other information related to the business relationship.

We receive this data directly from the business partners or from other persons involved in a business relationship, from publicly accessible sources (e.g. commercial register, debt enforcement register, internet) or from companies within the Aenova Group, from authorities and third parties (such as credit information).

We process this personal data mainly to conclude and process contracts with our business partners, to document, bill and improve our services, to develop new products and services or to obtain services from our business partners. This includes processing to check creditworthiness, to fulfil legal and contractual obligations at home and abroad (e.g. compliance with customs and export restrictions), for training and quality assurance, accounting, and to enforce or defend legal claims. This also includes the involvement of third parties such as logistics companies, banks, insurance companies and credit agencies. We also process the data of our business partners in order to communicate with them, to answer enquiries and to send newsletters, information about the offers of us and of companies of the Aenova Group, customer surveys, invitations to events and similar information.

### 3.4 Application process

As part of the application process for vacancies, we process the application documents received, information from the interviews, information on work and residence permits, reference information, health information and criminal records (if relevant to the vacancy) and other personal data required for the application process. If the application does not lead to an employment relationship, the application documents will be deleted no later than six months after completion of the application process, unless the applicant has agreed to a longer retention period or the deletion does not conflict with any legitimate interests of ours.

If you apply for a vacancy online via a contact form, an online platform, a job exchange or a job mediator, the respective data protection conditions of these platforms and providers also apply. Insofar as we require a legal basis for the processing of this personal data, we rely on your consent (within the meaning of Art. 6 No. 1 lit. a DSGVO), the conclusion of the employment contract for the vacant position (within the meaning of Art. 6 No. 1 lit. b DSGVO) or our legitimate interest (within the meaning of Art. 6 No. 1 lit. f DSGVO) in being able to answer and process incoming application requests.

### **3.5 Video surveillance and visits to our site**

For security purposes (preventive and incident investigation) and for legal and insurance reasons, we use video surveillance cameras in certain areas at our sites. We draw your attention to such cameras at the relevant locations by means of appropriate signs. Video surveillance is limited to the minimum necessary. The recordings are usually deleted automatically within 72 hours, provided no irregularities have been recorded during this period.

We also keep access logs or visitor lists. During production visits, we may collect additional information from our visitors, such as information about illnesses, contacts with sick persons or travel to risk areas.

We process this information collected in connection with video surveillance and visitor lists in order to comply with legal requirements, regulations and internal directives, and to protect our production operations, our employees and other persons.

### **4 Disclosure of personal data**

For certain services, such as the operation of our IT systems, we may involve specialised service providers and companies of the Aenova Group. In order to provide their services, these recipients may receive access to your personal data and may collect, store or otherwise process it on our behalf. They must treat your data as confidential and may not use it for any purpose other than to perform their tasks on our behalf.

Otherwise, we will only disclose personal data to third parties if this is necessary to achieve the purposes described in this privacy policy or for our services, if this is provided for by law or in an order, or if this is necessary for the enforcement of our legal claims, or if you have given your consent to this. These third parties include in particular the following categories of recipients: group companies, service providers, contractual partners, authorities, other persons.

Some of these recipients may be located abroad (namely in EU countries or in the USA). In particular, you must expect the transfer of your data to all countries in which the Aenova Group has branches and locations (<https://www.aenova-group.com/de/unternehmen/standorte>) as well as to other countries within and outside Europe where the service providers commissioned by us or the Aenova Group and their subcontractors are located. If data is transferred to a country without adequate legal data protection, we ensure that adequate protection measures are in place (namely by using appropriate contracts based on the so-called standard contractual clauses of the European Commission or another set of rules to ensure data protection) or rely on one of the legal exceptions such as your consent, the conclusion or performance of a contract, the establishment, exercise or enforcement of legal claims. You can obtain further information

about the recipient states and the measures implemented from the contact address mentioned in section 2.

## **5 Retention period**

We process your personal data for as long as is necessary for the processing purposes provided for in this data protection declaration, the statutory retention periods and our legitimate interests (in particular documentation and evidence purposes) or storage is technically necessary. Documentation and evidence purposes include our interest in documenting processes, interactions and other facts in the event of legal claims, discrepancies, for security purposes and as evidence of good corporate governance and compliance. Retention may be technically necessary where certain data cannot be separated from other data and therefore needs to be retained with it (e.g. in the case of backups or document management systems).

## **6 Protection of your data**

We use technical and organisational security measures to protect your personal data from manipulation, loss, destruction or access by unauthorised persons.

## **7 Data subject rights**

Subject to the data protection laws applicable to you, you have the right to request from the data controller (1) information about your personal data, (2) correction or (3) deletion of your personal data, or (4) restriction of the processing of your personal data, and you may (5) object to the processing of your personal data. Where the processing of your data is based on your consent, you could withdraw this consent at any time by notifying us in writing with effect for the future.

If you have such concerns, please contact us in writing or on site at the point in section 2. We will process such concerns in accordance with the applicable data protection law and may also refuse or limit such requests if necessary.

A data subject also has the right to lodge a complaint with the relevant data protection authority. The competent data protection authority in Switzerland is the Federal Data Protection and Information Commissioner ([www.edoeb.admin.ch](http://www.edoeb.admin.ch)). The competent data protection authorities of EU and EEA countries can be found at this link: [https://edpb.europa.eu/about-edpb/board/members\\_de](https://edpb.europa.eu/about-edpb/board/members_de).



## 8 Changes

We reserve the right to change this privacy policy from time to time. In general, the data protection declaration in the version current at the time of obtaining the data in question applies to data processing in each case.