



KDD

PRIVACY STATEMENT

KDD - CENTRALNA KLIRINŠKO DEPOTNA DRUŽBA D.D.
LJUBLJANA

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1 GENERAL CLARIFICATIONS

1.1 CONTROLLER INFORMATION, DATA PROTECTION OFFICER AND GENERAL RULES OF DATA PROCESSING

Data controller:

KDD – Centralna klirinško depotna družba d.d. (KDD)
Tivolska cesta 48, 1000 Ljubljana

Email address of Data Protection Officer:

gdpr@kdd.si

The processing of personal data is carried out in accordance with the requirements of Regulation (EU) 2016/679 (GDPR)¹.

The processing of personal data within KDD does not involve automated decision-making or profiling of natural persons.

KDD does not transfer personal data to third countries or to international organisations.

1.2 USE OF COOKIES ON KDD WEBSITE

KDD uses only essential cookies that enable normal functioning of the KDD Website and its essential features. Without these cookies seamless access to the Website cannot be ensured.

1/ Cookie name

/ ASP.NET_SessionId

/ CSRF

2/ Server

The essential cookies ASP.NET_SessionId are installed on the following servers: storitve.kdd.si and www.kdd.si, whereas the essential cookies CSRF are installed on the server storitve.kdd.si.

3/ Duration

The essential cookie ASP.NET_SessionId expires once the user session ends, whereas the essential cookies CSRF expire after six (6) hours.

4/ Purpose

The essential cookies ensure normal functioning of the Website and its essential features. Without these cookies seamless access to the Website cannot be ensured.

5/ Storage domain

Cookies are stored on the server.

¹ Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (General Data Protection Regulation)

2 SPECIFIC PROVISIONS ON THE PROCESSING OF PERSONAL DATA WHICH HAVE NOT BEEN OBTAINED FROM THE DATA SUBJECT (Article 14 of the GDPR)

2.1 DATA IN THE CENTRAL BOOK-ENTRY SECURITIES REGISTRY

The data maintained in the Central Book-Entry Securities Registry on the data subject is as follows:

- (1) unique identification (personal ID number or KID number), name and surname, address, date of birth, citizenship, and tax ID number; and
- (2) type and amount of the corresponding securities, holder's account number and KDD System Member with whom the holder's account is opened.

The legal basis for data processing is the Book-Entry Securities Act (ZNVP-1) (Article 9 in conjunction with Articles 13 and 14 of the ZNVP-1), and point (c) of the first subparagraph of Article 6 of the GDPR, which makes it impossible for the data subject to have this data erased. The legal basis for data processing related to transactions arising from legal obligations or based on judicial or administrative decisions is set out in Articles 27, 28 and 36 of the ZNVP-1, Articles 45 and Articles 163.b to 163.č of the Enforcement and Security Act (ZIZ), and Articles 119, 211 and 212 of the Tax Procedure Act (ZDavP-2).

The purpose of processing this data is to comply with KDD's legal obligations regarding the management of the Central Book-Entry Securities Registry.

Access to the data in the Central Registry is granted to the following categories of individuals:

- (1) users within KDD, namely within the scope and limits of the execution of work duties,
- (2) users with the System Members who have been contractually authorized by the data subject to manage the securities account (limited to the scope of the account managed),
- (3) the public under the conditions set out in Article 39(5) of the ZNVP-1 (anybody may request information that is kept in the share register or in the register of other registered book-entry securities, apart from the tax ID number and unique identifier of a natural person),
- (4) bodies carrying out statutory duties (the Securities Market Agency, a court, a tax authority, the Bank of Slovenia, the Insurance Supervision Agency, other state body, a holder of public authority, an authority of the European Union or a Member State).

Sources of personal data maintained in the Central Registry are as follows:

- (1) System Members, contractually authorized by the data subject to manage the securities account (limited to the scope of the account managed),
- (2) trading reports provided by the Ljubljana Stock Exchange, Inc.
- (3) bodies conducting procedures under the Inheritance Act, the ZIZ or the ZDavP-2, as well as the participants in these procedures, and
- (4) bodies maintaining the Business Register, the Central Population Register and the Tax Register (in accordance with Article 14(4) of the ZNVP-1).

In accordance with Article 29 of the Regulation (EU) No 909/2014², the retention period for this data is at least 10 years. For daily control over the accuracy of the balance of securities, KDD keeps a sequential record of all daily entries (transactions) for each individual securities account from the date of account opening.

² Regulation (EU) No 909/2014 of the European Parliament and of the Council of 23 July 2014 on improving securities settlement in the European Union and on central securities depositories and amending Directives 98/26/EC and 2014/65/EU and Regulation (EU) No 236/2012.

2.2 DATA ON CONTACTS

KDD processes data on:

- (1) System Member, Member-Issuer, LEI holders and other KDD clients contact persons³ (name and surname, email address, phone number),
- (2) contacts conducted within the company premises (video surveillance and manual access logging, namely video recording of an individual (image), location data, date and timestamp).

The basis for processing this data is set forth in point (f) of the first subparagraph of Article 6 of the Regulation (EU) 2016/679 (legitimate interest), and Articles 76 and 77 of the New Personal Data Protection Act (ZVOP-2), which makes it impossible for the data subject to have this data erased prior to the end of the retention period.

The purpose of processing this data is the pursuit of KDD's legitimate interest in the establishment and performance of contractual obligations as well as provision of evidence of compliance with regulatory and contractual requirements. The additional purpose of conducting the access video surveillance is to ensure protection of KDD's property and property rights, the life and physical well-being of individuals, and order within KDD premises.

Access to the data on contact persons is granted to the following categories of individuals:

- (1) users within KDD, namely within the scope and limits of the execution of work duties,
- (2) System Member, Member-Issuer, LEI holders or other KDD clients, who provided data on the contact person,
- (3) authorities entrusted with official duties pursuant to the law.

Access to the data on contacts conducted within the company premises is granted to the following categories of individuals:

- (1) users within KDD, namely within the scope and limits of the execution of work duties,
- (2) users at Parks 1 d.o.o., company directly responsible for operating the video surveillance,
- (3) authorities entrusted with official duties pursuant to the law.

Sources of data on contacts are as follows:

- (1) System Member, Member-Issuer, LEI holders or other KDD client communicating data on their contact person,
- (2) person directly responsible for operating the video surveillance (Parks 1, d.o.o.).

Contact details are retained by KDD until the expiration of statutory limitation periods for fulfilling the obligations of KDD or its counterparty (System Member, Member-Issuer, LEI holder or other client), related to which the data on the contact person was provided.

Video recordings are retained by Parks 1, d.o.o., for no longer than 60 days from the date of creation. Manual access loggings are retained by KDD for a period of two years after the end of the calendar year following the entry of personal data into the records.

³ The term »contact person« also covers persons authorized to receive and transfer data.

3 SPECIFIC PROVISIONS ON THE PROCESSING OF PERSONAL DATA COLLECTED FROM THE DATA SUBJECT (Article 13 of the GDPR)

KDD collects personal data from the data subject where the data subject acts as the user of KDD services. The said services are as follows:

- (1) obtaining various statements from the Central Registry based on the securities account criteria,
- (2) obtaining data from the Share Register,
- (3) communicating data to the Issuer, provided to KDD by the ultimate shareholder or his appointed broker for the purposes of identification of the ultimate shareholder,

In these cases, KDD identifies the service user by their full name, address, and additional contact information, should the client wish to disclose it for the purpose of facilitating communication with KDD (including contact details of a potential appointed broker). In the first case (obtaining various statements from the central registry based on the securities account criteria), KDD also conducts personal identification of the user.

The basis for processing this data is set forth in point (b) of the first subparagraph of Article 6 of the GDPR.

The purpose of processing the specified data is to comply with KDD's legal and contractual obligations to provide or communicate data from the Central Registry or the data on the ultimate shareholders only to authorized individuals. KDD does not process this data for other purposes.

Access to the data on service users (in addition to the service users themselves or their authorized brokers) is granted to the following categories of individuals:

- (1) users within KDD, namely within the scope and limits of the execution of work duties,
- (2) authorities entrusted with official duties pursuant to the law.

The data on service users is retained by KDD until the expiration of statutory limitation periods for fulfilling the obligations of KDD.

Failure to provide the service user's personal data (name, surname, address, and personal identification data in the cases of obtaining statements from the Central Registry based on the securities account criteria) leads to KDD being unable to deliver the service. The individual who is the ultimate shareholder may provide the data required for their identification directly to the Issuer.

4 LEGAL PROTECTION OF THE DATA SUBJECT

4.1 RIGHTS OF THE DATA SUBJECT

With respect to this matter, the data subject is entitled to the following rights of supervision:

- (1) Right of access (Article 15 of the GDPR),
- (2) Right to rectification (Article 16 of the GDPR),
- (3) Right to erasure (Article 17 of the GDPR),
- (4) Right to restriction of processing (Article 18 of the GDPR),
- (5) Right to data portability (Article 20 of the GDPR),
- (6) Right to object (Article 21 of the GDPR).

4.2 RESTRICTIONS ON THE RIGHTS

Restrictions on the rights are specified in the description of each particular processing of the personal data where the right is subject to restriction.

4.3 MODALITIES FOR THE EXERCISE OF RIGHTS

To exercise their rights, the data subject may send a request:

- by post to: **KDD d.d., Tivolska 48, Ljubljana**
- by email to: gdpr@kdd.si
(with the following reference: *Exercise of the rights of the data subject under the GDPR*)

The request must be clear and specific. If there is any doubt regarding the identity of the requester, KDD may carry out an additional identity verification.

4.4 DEADLINE FOR RESPONSE

KDD shall respond to the request within one month of receipt of the request. If the request is particularly complex or if there are multiple requests, that period may be extended by two further months, of which KDD shall inform the requester within one month, providing justification of reasons for the delay.

KDD shall respond to requests in the same form in which they were submitted, unless otherwise indicated in the request itself.

If the request is manifestly unfounded or excessive, in particular because of its repetitive character, KDD may either:

/charge a reasonable fee taking into account the administrative costs of providing the information or communication or taking the action requested; or

/refuse to act on the request.

4.5 RIGHT TO COMPLAINT

If KDD does not act on the request for the exercise of rights or fails to take appropriate action or if, in the opinion of the data subject, does not process personal data in accordance with applicable regulations, the data subject shall have the right to lodge a complaint with a supervisory authority, namely the Information Commissioner of the Republic of Slovenia, Dunajska cesta 22, Ljubljana (email: gp.ip@ip-rs.si, website: www.ip-rs.si).

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The official text is the Slovene version of this document. Any discrepancies or differences created in the translation are not binding and have no legal effect. In the event of discrepancies between a translated version and the official version, the official version in Slovene shall govern.