

Allianz Global Investors

Privacy Notice
Status:
05/2018

Allianz Global Investors Fund, Société d'Investissement à Capital Variable. Registered Office: 6A, route de Trèves, L-2633 Senningerberg,

Any and all information concerning the investor as an individual or any other data subject (the "Personal Data"), contained in the application form or further collected in the course of the business relationship with the Company (as defined in the prospectus) will be processed by the Company as data controller ("Controller") in compliance with the Regulation (EU) 2016/679 of 27 April 2016 (the "General Data Protection Regulation—GDPR") as well as any applicable law or regulation relating to the protection of personal data (collectively the "Data Protection Law").

The Controller may store on computer systems and process, by electronic or other means, personal data concerning the investors and their representative(s) (including, without limitation, legal representatives and authorised signatories), employees, directors, officers, trustees, settlors, their shareholders, and/or unitholders for, nominees and/or ultimate beneficial owner(s) (as applicable) (hereafter the "Data Subjects").

Personal data provided or collected in connection with an investment in the Company are processed by the Controller and by the Management Company, the Administrator, the Investment Manager, the Distributor, the Depositary, the Transfer Agent and Registrar, the Auditor, legal and financial advisers and other service providers of the Controller (including its information technology providers) and any of the foregoing respective agents, delegates, affiliates, subcontractors and/or their successors and assigns (hereafter the "Service Providers/Processors"). The Service Providers/Processors may act, in certain circumstances and as assigned according to their roles, as data controller, in particular for compliance with their legal obligations in accordance with applicable laws and regulations (such as anti-money laundering identification) and/or order of competent jurisdiction. These processing activities are done under the sole responsibility of these independent data controllers and are governed by separate privacy notices.

The Personal Data that may be collected and processed by or on behalf of the Controller include the following Information:

- a) Contact information such as first name, last name, business telephone, e-mail address;
- b) Employment and job history;
- c) Nationality, date and place of birth and information on identification documents;
- d) Government issued identifiers such as passport, identification card, tax identification number, national insurance number;
- e) Financial information such as bank details credit history information, current and historic investments;
- f) Tax domicile and other tax-related documents and information;
- g) Origin of funds and assets; and
- h) Financial situation and knowledge and experience in investment matters

Insofar as Personal Data provided by investors include Personal Data concerning other Data Subjects, investors represent that they have authority to provide Personal Data of such Data Subjects to the Controller and confirm that they have undertaken to (i) inform any such Data Subject about the processing of their Personal Data and their rights as described in this Privacy Notice, in accordance with the information requirements under the Data Protection Law and (ii) where necessary and appropriate, obtained in advance any consent that may be required for the processing of Personal Data in accordance with the requirement of Data Protection Law with regard to the validity of consent. The Controller may assume, where applicable, that Data Subjects have, where necessary, given such consent and have been informed of the processing and transfer of their Personal Data and of their respective data subject rights.

Personal Data are processed for the purposes of: (i) offering investments in the Company and performing the related services including, but not limited to, processing subscriptions and redemptions, managing and administering investors' holdings in the Company and providing financial and other information to investors in accordance with the contract between the investor and the Controller; and (ii) other related services resulting from any agreement entered into between the Controller and a service provider that is communicated or made available to the investors (hereafter the "Investment Services"). Personal Data may also be processed to comply with legal or regulatory obligations including, but not limited to, legal obligations under applicable law, prevention of terrorism financing law, anti-money laundering law (such as carrying out customer due diligence), prevention and detection of crime, and tax law (such as reporting under the FATCA Law and the CRS Law).

Personal Data is collected, used, stored, retained, transferred and/or otherwise processed: (i) on the basis of investors' consent; and/or (ii) as a result of the subscription of investors to the subscription agreement where necessary to perform the Investment Services or to take steps at the request of investors prior to such subscription, including the holding of shares in general; and/or (iii) to comply with a legal or regulatory obligation of Controller or Service Providers; and/or (iv) for the purpose of legitimate interests pursued by the Controller if personal Data is processed for risk management and fraud prevention purposes, for the evaluation of the Investor's financial needs, monitoring the Investor's financial situation including for assessing its creditworthiness and solvency, to manage litigation and for marketing purposes. In the event the subscription agreement is not entered into directly by the concerned Data Subject, Personal Data is also processed for the purposes of the legitimate interests pursued by Controller, which mainly consist in the performance of the Investment Services, or direct or indirect marketing activities, or compliance with foreign laws and regulations and/or any order of a foreign court, government, supervisory, regulatory or tax authority, including when providing such Investment Services to any beneficial owner and any person holding shares directly or indirectly in the Company.

In case the processing of Personal Data by the Controller or on its behalf is based on consent, the Data Subjects are entitled to withdraw their consent at any time without prejudice to the lawfulness of the processing.

For the purposes listed above, Personal Data will be transferred to any of the aforementioned recipients and Service Providers in any jurisdiction. The Controller may transfer Personal Data outside EEA (i) on the basis of an adequacy decision of the European Commission with respect to the protection of personal data and/or on the basis of the EU-U.S. Privacy Shield framework or, (ii) on the basis of appropriate safeguards according to Data Protection Law, such as standard contractual clauses, binding corporate rules, an approved code of conduct, or an approved certification mechanism - the investors and investor-related individuals whose data may be covered by such transfer may obtain a copy of such safeguards by contacting the Company at the above contact details or, (iii) on the basis of the investor's consent or, (iv) for the performance of the Investment Services or for the implementation of pre-contractual measures taken at the investors' request or, (v) for the Service Providers to perform their services rendered in connection with the Investment Services or, (vi) for important reasons of public interest or, (vii) for the establishment, exercise or defence of legal claims or, (viii) where the transfer is made from a register, which is legally intended to provide information to the public or, (ix) for the purposes of compelling legitimate interests pursued by the Controller, to the extent permitted by Data Protection Law.

The Controller does not use Personal Data for automated decisions in individual cases, including profiling. Profiling is any type of automated processing of your data with the aim of using it to evaluate certain personal aspects. Should the Company use these procedures in individual cases, it will inform Investors separately.

Answering questions and requests with respect to Data Subjects' identification and shares held in the Company, FATCA and/or CRS is mandatory. Failure to provide relevant Personal Data requested in the course of the relationship with the Company may prevent them from maintaining their shares in the Company and may be reported to the relevant authorities.

Each data subject may request: (i) access to any Personal Data stored about the data it by the Controller including obtaining a copy of such Personal Data and further additional information about the processing pursuant to the applicable law; (ii) rectification of incorrect Personal Data; (iii) deletion of any Personal Data concerning the Data Subject if such Personal Data are no longer needed for the purposes for which they were stored; (ii) a restriction of the processing of Personal Data concerning the Data Subject to certain purposes; (iii) to receive its Personal Data for itself or another third party elected by the Data Subject in a structured, commonly used and machine readable format or to transmit those Personal Data to another controller in accordance with Data Protection Law; and (iv) to obtain a copy of or access to the appropriate or suitable safeguards which have been implemented for transferring the Personal Data outside of the EEA, in the manner and subject to the limitations prescribed in accordance with Data Protection Law. In particular, Data Subjects may at any time object, on request and free of charge, to the processing of their Personal Data for marketing purposes (in which case the Controller will cease the processing of such Personal Data for such purposes immediately) or for any other purpose carried out on the basis of the legitimate interests of the Controller (in which case the Controller will cease the processing if no overriding legitimate interests for the data processing exist). Please note that these rights will be exercisable subject to limitations as provided for in the Data Protection Law. In certain circumstances it may not be feasible for the Controller to discharge these rights, for example because of the structure of the Company or the manner in which shares are held. Each Data Subject should address such requests (including - if applicable - withdrawal of consent) or requests for additional information related to the processing of their Personal Data to: Allianz Global Investors GmbH, Data Protection Officer, Bockenheimer Landstrasse 42-44, 60323 Frankfurt, Germany (email: dataprivacy@allianzgi.com or the contact named on the application form).

Data Subjects are entitled to address any claim relating to the processing of their Personal Data carried out by the Company in relation with the Investment Services to the relevant data protection supervisory authority in the EU member state of their actual residence or place of work or in the place of the alleged infringement if they consider that the processing of personal data relating to them carried out by the Controller or its Service Providers infringes the GDPR, in Luxembourg this would be the National Commission of Data Privacy.

Personal Data may be retained for the duration of an investor's investment and afterwards in accordance with legal and regulatory obligations. Personal Data will be retained for ten (10) years after the closing of the end of the financial year to which they relate or any longer period as may be imposed or permitted by law, in consideration of the legal limitation periods (including for litigation purposes). Personal data processed for AML and KYC purposes will be retained for five (5) years after the end of the contract with the Investor.

This Privacy Notice may be amended time to time to ensure that full information about all processing activities is provided. Changes to the Privacy Notice will be notified by appropriate means.