

Introduction

Luna Wealth Asset Management Ltd (hereinafter: “**LWAM**” or “**the Company**”), whose headquarters are at 20 Ionos Street, Floor 1 Flat 1, 2406 Nicosia, Cyprus, is a company incorporated and registered in the Republic of Cyprus under Cyprus Company Law and is authorized and regulated as a Cyprus Investment Firm (CIF) by the Cyprus Securities and Exchange Commission (hereinafter the “**CySEC**”), under License Number 379/19, in accordance with the Investment Services and Activities and Regulated Markets Law of 2017 (L.87(I)/2017) (the “**Law**”), as amended from time to time, and subject to the European Parliament Markets in Financial Instrument Directive II (“**MiFID II**”).

The **EU General Data Protection Regulation (“GDPR”)** came into force across the European Union on 25th May 2018 and brought with it the most significant changes to data protection law in two decades. Based on privacy by design and taking a risk-based approach, the GDPR has been designed to meet the requirements of the digital age.

The 21st Century brings with it broader use of technology, new definitions of what constitutes personal data, and a vast increase in cross-border processing. The new Regulation aims to standardise data protection laws and processing across the EU; affording individuals stronger, more consistent rights to access and control their personal information.

Our Commitment

LUNA WEALTH ASSET MANAGEMENT LTD is committed to ensuring the security and protection of the personal information that we process, and to provide a compliant and consistent approach to data protection. We have an effective data protection program in place which complies with existing law and abides by the data protection principles. The Company recognizes its obligations in updating and expanding this program to meet the demands of the GDPR and the Protection of Natural Persons Against the Proportion of Personal Data and the Free Circulation of Data Law of 2018 (L.125(I)/2018).

LUNA WEALTH ASSET MANAGEMENT LTD is dedicated to safeguarding the personal information under our remit and has developed a data protection regime that is effective, fit for purpose and demonstrates an understanding of, and appreciation of the GDPR requirements. This Privacy Policy concerns natural persons who are current or potential customers of the Company or act as authorised representatives of legal entities or natural persons which/ who are current or potential customers of the Company or are the directors or beneficial owners of legal entities who are current or potential customers of the Company (hereinafter “you or your”). This Privacy Policy concerns also natural persons who had such business relationships with the Company in the past.

LUNA WEALTH ASSET MANAGEMENT LTD respects your privacy and is committed to handling your personal data with transparency and integrity. When processing personal data provided by you, the Company is subject to the provisions of the General Data Protection Regulation (EU) 2016/679 (‘GDPR’) and any applicable data protection laws or regulations of the Republic of Cyprus. Luna Wealth Asset Management Ltd acts as a controller of your personal data under GDPR, which means that it determines solely or jointly with others, the purposes and means of the processing of your personal data.

Collection of Personal Data

For the purposes of this Policy, 'personal data' means any information relating to you that identifies you, directly or indirectly. 'Processing' means any operation or set of operations which is performed on personal data, such as collection, recording, storage, use, disclosure, erasure or destruction.

In order to establish a business relationship with Luna Wealth Asset Management Ltd, the following personal data is required from you:

- Personal information such as your name, date and place of birth, citizenship, nationality, home address, passport/ ID number, FATCA/ CRS information (tax residency, tax identification number), contact details (telephone, email), bank account details, occupation and information on whether you hold/held a prominent public function (for PEPs);
- Financial information such as your income, source of funds and investment objectives;
- Documents that verify your identity and residency such as an international passport or national ID and utility bills or bank statements.

We may also collect and process personal data from public sources (e.g. the Department of Registrar of Companies and Official Receiver, the press, the internet) as well as from risk management suites such as the World Compliance database.

Legal basis for the processing of your personal data

The protection of your privacy and personal information is of great importance to us. Your personal data is processed lawfully, fairly and in a transparent manner on the following bases:

For the performance of a contract

The processing of your personal data is necessary for the performance of a contract, namely the client agreements for the performance of investment services to which you are party, or in order to take steps at your request prior to entering into an agreement. In order to be able to render investment services to you and administer our relationship, we need to collect certain information about your identity, financial background and investment objectives.

For compliance with a legal obligation

The processing of your personal data is necessary for compliance with the legal obligations emanating from a number of laws to which Luna Wealth Asset Management Ltd is subject, e.g. the European Markets in Financial Instruments Directive II ('MiFID II') and the corresponding Investment Services and Activities and Regulated Markets Law of the Republic of Cyprus L.87(I)/2017, the European and Cyprus legislation on the prevention of the use of the financial system for the purposes of money laundering or terrorist financing, the Common Reporting Standard ('CRS'), the Market Abuse Regulation ('MAR'), and the Foreign Account Tax Compliance Act (FATCA) *inter alia*. Compliance with these legal obligations requires, *inter alia*, identity verification procedures and processes, anti-money laundering controls, the retention of personal data for a certain period of time, the disclosure of personal data to the supervisory and other regulatory and public authorities.

For the purposes of the legitimate interests pursued by Luna Wealth Asset Management Ltd

The processing of your personal data is necessary for the purposes of the legitimate interests pursued by Luna Wealth Asset Management Ltd, where those interests do not infringe your interests, fundamental rights and freedoms. These legitimate interests include business or commercial interests and examples of relevant processing activities include: preparing our defence in litigation procedures; preventing fraud and money laundering activities; managing business and further developing and marketing of products and services.

Your obligation to provide to LWAM your personal data

The provision of your personal data is a requirement necessary to enter into a contract with Luna Wealth Asset Management Ltd and as a client of the Company you will have a statutory and contractual obligation to provide and keep up to date and accurate the personal data set out in this Privacy Policy. Failure to provide such data will not allow us to commence or continue our business relationship, as compliance with our legal obligations will be deemed impossible.

Categories of recipients of your personal data

In the course of the performance of our contractual and statutory obligations and for legitimate business purposes, your personal data may be disclosed to:

- Supervisory and other regulatory and public authorities, upon request or where required. Some examples are the Cyprus Securities and Exchange Commission, the Unit for Combating Money Laundering (MOKAS) and criminal prosecution authorities.
- Auditors, lawyers, consultants and other outside professional advisors of Luna Wealth Asset Management Ltd, subject to confidentiality agreements.
- Third party processors such as payment services providers, companies who assist us with the effective provision of our services to you by offering technological expertise, solutions and support, file storage and records management companies.

All data processors appointed by us to process personal data on our behalf have to comply with the provisions and requirements of the GDPR.

International transfer of personal data

Your personal data may be transferred to third countries (i.e. countries outside the European Economic Area), to recipients mentioned above, in connection with the purposes set out in this Privacy Policy. We may transfer your personal data to countries that may have different laws and data protection compliance requirements; however, processors in third countries are obliged to comply with the European data protection standards when processing your personal data. Where we transfer your personal data to third countries, we do it on the basis of standard contractual clauses adopted by the European Commission.

Principles relating to the processing of your personal data

We have implemented appropriate technical and organisational measures to ensure appropriate security of your personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage. We take reasonable steps to ensure that your personal data that we process are accurate and, where necessary, kept up to date. From time to time we may ask you to confirm the accuracy of your personal data. We take every reasonable step to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay. We also make sure that all personal data we collect are adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed.

Period for which your personal data will be stored

We will keep your personal data for the duration of our business relationship and for five (5) years after the termination of our business relationship, unless otherwise requested by a competent authority, in line with the provisions of the applicable European and Cyprus legislation on the prevention of the use of the financial system for the purposes of money laundering or terrorist financing, the Markets in Financial Instruments Directive II ('MiFID II') and the corresponding Investment Services and Activities and Regulated Markets Law L.87(I)/2017 of the Republic of Cyprus. We may keep your data for longer if we cannot delete it for legal or regulatory reasons. In particular, the retention of data is not limited in time in the case of pending legal proceedings or an investigation initiated by a public authority, provided that in each case the Company has been informed of the pending legal proceedings or the investigation initiated by a public authority within the retention period described hereinabove.

Your rights

You have the following rights regarding your personal data we control and process:

- The right to request access to, or copies of, your personal data, together with information regarding the processing of those personal data.
- The right to request rectification of any inaccurate personal data concerning you.
- The right to request, on legitimate grounds and where there is no good reason for us continuing to process it, erasure of your personal data.
- The right to object, on grounds relating to your particular situation, to the processing of your personal data which is based on a legitimate interest pursued by Luna Wealth Asset Management Ltd. The Company shall no longer process your personal data, unless it demonstrates compelling legitimate grounds for the processing, which override your interests, rights and freedom or for the establishment, exercise or defence of legal claims. You also have the right to object where your personal data are processed for direct marketing purposes and the Company shall stop the processing of your personal data for such purposes.
- The right to request restriction of processing of your personal data where one of the following applies: i) your personal data is not accurate and we need to stop processing it until it verifies the data, ii) your personal data has been used unlawfully, iii) the Company no longer needs your personal data for the purposes of the processing, but you want us to keep it for use in possible legal claims and iv) you have already objected to the processing of your personal data

and you are waiting for the Company to confirm if it has legitimate grounds for the processing of your data.

- The right to have your personal data transferred to another controller, to the extent applicable.
- The right to withdraw your consent, where the Company processes your personal data on the basis of your consent. Please note that any withdrawal of consent shall not affect the lawfulness of processing based on consent before it was withdrawn by you.
- The right to lodge a complaint regarding the processing of your personal data by the Company. You can lodge your complaint by completing our complaints form. If you feel that your concerns have not been adequately addressed by the Company, you have the right to lodge a complaint with the Office of the Commissioner for Personal Data Protection of the Republic of Cyprus. You can find information about submitting a complaint on their website (<http://www.dataprotection.gov.cy>).

Direct Marketing

The Company may process your personal data to contact you, primarily by email, in order to provide you with information concerning products and services that may be of interest to you. Please note that in accordance with the applicable law, the processing of personal data for direct marketing purposes may be regarded as carried out for a legitimate interest pursued by the Company. However, if you do not wish to receive marketing communications from the Company, you can opt out at any time by contacting the Company or by sending an email to the Company's Data Protection Officer. After you opt out, the Company will not send you further promotional emails, but will continue to contact you to the extent necessary for the purposes of any services you have requested.

Changes to this Privacy Policy

At any time, the Company may amend this Privacy Policy. You will be notified about material changes, however you are encouraged to review this Privacy Policy periodically, so as to always be informed about how we are processing and protecting your personal data.

Data Protection Officer (DPO)

Luna Wealth Asset Management Ltd have designated Mrs. Marilia Yelasi as the Company's Data Protection Officer (DPO). If you have any questions regarding the Company's Privacy Policy or your data, please contact compliance@lunawealth.com