

# Angelo Gordon Privacy Notice

## General Data Protection Regulation (“GDPR”)



### Why are you receiving this notice?

You are receiving this notice because you are an investor in a fund or account (a “fund”) managed by Angelo, Gordon & Co., L.P. (“Angelo Gordon”), or because you are a representative of such an investor. References to “you” in this notice shall include you individually and, if applicable, the investor you represent.

You have previously provided certain personal information to Angelo Gordon and/or its affiliates about yourself or, if applicable, your officers, directors, partners, members, or employees. We are giving you this notice to inform you of how we treat such personal information in compliance with the EU General Data Protection Regulation (2016/679). Please take a moment to review the content of this notice.

If you have questions about this notice or how your (or, if applicable, your officers’, directors’, partners’, members’ or employees’) personal data will be treated, please contact Angelo Gordon’s Client Services Department at [AGClientServices@angelogordon.com](mailto:AGClientServices@angelogordon.com) or by post at 245 Park Avenue, 25<sup>th</sup> Floor, New York, NY 10167 USA.

### What personal information do we collect and use?

The types of personal information relating to you that we may process include, without limitation:

- your (or, if applicable, your officers’, directors’, partners’, members’ or employees’) name, address, email, and other contact information, date of birth and gender;
- bank account details and tax identification details for you or, as applicable, for the investor you represent;
- place of employment or other source(s) of wealth for you and/or for the investor you represent;
- your communications with us;
- information regarding your eligibility to invest in our funds or the eligibility of the investor you represent; and
- copies of your (or, if applicable, your officers’, directors’, partners’, members’ or employees’) passport and other official documentation for identity or address verification purposes.

### What do we use your personal information for?

We need your (or, if applicable, your officers’, directors’, partners’, members’ or employees’) personal information for the following primary reasons.

*First*, we need to obtain and retain certain personal information about you in order to perform our contractual obligations to you as an investor in one of our funds. For example: (i) using the information you provide to process and register your initial subscription; (ii) using your name and contact details for updating you on the fund’s performance and other matters relating to its operation; and (iii) using your bank account details to remit funds to you as necessary and to process redemptions.



*Second*, we need to obtain and retain personal data from you to comply with our legal and regulatory obligations. These include, preventing fraud and conducting “Know Your Client”, anti-money laundering, terrorist financing, and conflict checks. The information we require to perform these checks may include copies of your official identification documents, utility bills, home address, date of birth, Social Security number or other personal information that can help us confirm your identity.

In addition to the above, we also need your (or, if applicable, your officers’, directors’, partners’, members’ or employees’) personal information:

- to exercise and comply with our rights and obligations at law or under regulation, or under contract, including for the establishment, exercise or defense of legal claims;
- to manage and administer our business and to improve relationships with you and other investors in funds we manage, and assist with investor relationship management, and for marketing and business development activities and analysis;
- to communicate with you in respect of your investment or other products we offer, for risk assessment and control, for statistical and trend analysis, for system administration, operation, testing and support and to operate control systems and management information systems;
- to help detect, prevent, investigate, and prosecute fraud and/or other criminal activity;
- to manage our information technology and to ensure the security of our IT systems;
- to disclose information to a governmental, tax or regulatory body, financial market, broker or other intermediaries, counterparties, court, auditors or other third parties and to conduct compliance activities, when this is in our, or a third party’s interests;
- to establish, exercise or defend legal claims and in order to protect and enforce our rights, property, or safety, or to assist the investors in our funds, or others to do this;
- to investigate and respond to any complaints about our business or any incidents relating to our business and to help maintain quality and to deal with complaints and disputes;
- to make certain assessments about you in order to assess your investment objectives, risk tolerance, and understanding of investment risk to assess the suitability of an investment in our funds or other products we offer; and
- to provide you with information about investments or products you may be interested in during the ordinary course of our business. If you do not wish for us to use your information to provide you with information regarding investments or products in which you may be interested, please contact us at [AGClientServices@angelogordon.com](mailto:AGClientServices@angelogordon.com). Please note that removing you from our marketing distribution lists will not affect how we process your (or, if applicable, your officers’, directors’, partners’, members’ or employees’) information for the other purposes described above.

When processing your (or, if applicable, your officers’, directors’, partners’, members’ or employees’) personal information, we will be subject to, and shall comply with, the relevant requirements contained in the GDPR.

### **What happens if you choose not to provide your personal data?**

As explained above, we require your (or, if applicable, your officers’, directors’, partners’, members’ or employees’) personal data to be able to comply with our legal and regulatory obligations, to operate our funds



and to perform services related to your investment. Accordingly, if you do not provide the information requested, we may not be able to continue your current subscription or accept a new subscription application.

### **Whom do we share your personal information with?**

We may share certain of your (or, if applicable, your officers', directors', partners', members' or employees') personal information with the following categories of third parties for the following reasons: the relevant fund administrator for your investment and any of its affiliates and other sub-processors as may be necessary to provide fund administration services for the purposes of carrying out money laundering checks and administering your investment in our funds;

- our advisers (*e.g.*, auditors, legal counsel and tax advisers) relating to or in connection with your subscription in our funds;
- our affiliates (including their officers, directors, partners or employees) for the purpose of the management of your investment;
- third-party service providers (*e.g.*, our IT providers and parcel delivery vendors) to administer our services and maintain our business records; and
- law enforcement agencies, regulatory or tax authorities and other governmental or public agencies or authorities.

They may in turn use the services of their affiliates or service providers to process your personal information where necessary or appropriate. Where we share your personal information with a third party, we require the recipients of that personal information to maintain adequate measures to protect it.

### **Is your personal data transferred outside of Europe?**

Our operations involve various affiliated entities and non-affiliated service providers based outside of the European Economic Area (the “**EEA**”) to enable us to operate and fulfil your investment and meet our own legal and regulatory obligations. Please note, the data protection laws in the recipient’s jurisdiction may be less protective than those in the EEA.

Our non-EEA third-party suppliers to which we transfer personal data to facilitate and manage your investment are currently located in the following jurisdictions: the British Virgin Islands, the Cayman Islands and the United States of America.

Our non-EEA affiliates to which we transfer personal data to facilitate and manage your investment are currently located in: the United States of America, Hong Kong, South Korea and Japan.

When we transfer your (or, if applicable, your officers', directors', partners', members' or employees') personal information outside of the EEA to a jurisdiction with a less robust data protection regime than the EEA, we will take appropriate steps to ensure it is adequately protected in compliance with GDPR. We will do this by entering into appropriate data transfer agreements with third-party recipients of your personal information incorporating model clauses approved by the European Commission governing such data transfers. Please contact Angelo Gordon’s Client Services Department at [AGClientServices@angelogordon.com](mailto:AGClientServices@angelogordon.com) or by post at 245 Park Avenue, 25<sup>th</sup> Floor, New York, NY 10167 USA, if you would like a copy of the model clauses or further information regarding these transfers.



### **How long is your personal information retained?**

We will not retain your (or, if applicable, your officers', directors', partners', members' or employees') personal information for longer than is necessary for the purposes explained above. Generally, we will retain your personal information specifically concerning your investment for a minimum of 6 years after you have exited your investment in one of our funds. We may retain your personal information for longer if it is considered necessary, for example, in light of actual or potential legal action or a regulatory investigation at the time of scheduled erasure.

We may retain your name, email address, and other contact details for a longer period for the purposes of marketing further fund raisings to you in the future. If at any point you would not like to receive future marketing communications in the future, please contact us at [AGClientServices@angelogordon.com](mailto:AGClientServices@angelogordon.com).

### **Your rights in relation to the personal information we process about you**

You have various rights in relation to the personal information we hold about you. These include:

- the right to request access to your personal information and obtain a copy of the information we hold about you;
- the right to correct your personal information that we hold where it is incomplete or inaccurate;
- the right to have your personal information erased where there is no legitimate reason for us continuing to use or retain it;
- the right to request that your personal information is used only for restricted purposes;
- if the lawful basis for processing your personal information is either our or a third party's legitimate interests, the right to object to your personal information being processed;
- the right to require certain of your personal information to be transferred to you or a third party;
- the right to withdraw consent, at any time, to our use of your personal information where our use is based solely on your consent; and
- the right to lodge a complaint with the relevant data protection authority in your jurisdiction (for example, the Information Commissioner's Office in the United Kingdom).

If you wish to exercise any of these rights you should contact Angelo Gordon's Client Services Department at [AGClientServices@angelogordon.com](mailto:AGClientServices@angelogordon.com) or by post at 245 Park Avenue, 25<sup>th</sup> Floor, New York, NY 10167 USA.

### **Questions or complaints**

If you have any questions or complaints regarding how we process your personal information, please contact us at: [AGClientServices@angelogordon.com](mailto:AGClientServices@angelogordon.com).