



Recruitment Privacy Notice

Relating to Applicants & Candidates who wish to become members of staff (the “Notice”)

Effective as at 25th May 2018 (inclusive)



1. Purpose of this Notice

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Cantor Fitzgerald Ireland Limited and Cantor Fitzgerald Ireland Services Holdings Limited (including L&P Trustee Services Limited) ("Cantor Group") are committed to handling Personal Data securely and in accordance with applicable data protection laws. This privacy notice ("**Notice**") applies to any individual who is considering or being considered for a position as a member of staff either on temporary, contract, intern, consultancy, or permanent basis, either directly or indirectly in relation to an advertised vacancy, speculatively (whether directly or through a Third Party agency) or otherwise ("**you**").

1.1 For the purpose of this Notice

- a) "**we**", "**our**" or "**us**" and similar words means Cantor Group. Under the General Data Protection Regulation (EU) 2016/679 ("**GDPR**") these entities are "data controllers".
- b) "**you**" and "**your**" relates to individuals whose Personal Information we process for the purposes set out in this Notice. We may not have a direct relationship with you but with a Third Party. You are a 'data subject' (as defined in the GDPR).
- c) "**Third Parties**" means entities which we engage with and are not part of us. Third Parties where used here would generally be recruitment or employment agencies, head hunters and those performing similar roles.
- d) "**Personal Data**" or "**Personal Information**", means any information about an individual from which that person can be identified. It does not include data where the identity has been removed (anonymous data).

1.2 When you become a member of Staff your Personal Information will be processed in accordance with the Staff Privacy Notice which will be provided to you at the appropriate time.

It is important that you check back often for updates to this Notice.

This Notice was last updated on 25 May 2018.

2. How your Personal Information is collected

- 2.1 We may collect Personal Information about you through the application and recruitment process, either directly from you or sometimes from Third Parties. We may sometimes collect additional information from other Third Parties including regulatory or professional bodies, former employers, credit reference agencies or other background check agencies.
- 2.2 We will collect additional Personal Information in the course of job-related activities throughout the period of you working for us and where required, thereafter.

3. Use of your Personal Information

- 3.1 We collect, use, disclose, transfer and store Personal Information when needed in order to process your job application and to assess your suitability becoming a member of staff with us, including certain processes prescribed under the Central Bank Fitness and Probity regime.

- 3.2 All of the information you provide during the process will only be used for the purpose of progressing your application, or to fulfil legal or regulatory requirements if necessary.
- 3.3 We will not share any of the information you provide during the recruitment process with any Third Parties for marketing purposes.
- 3.4 The information you provide will be held securely by us and/or our Third Party service providers whether the information is in electronic format (including recorded telephone calls) or physical format
- 3.5 Where you or a Third Party provides us with your contact details we may use them to contact you to progress your application and any subsequent employment or equivalent terms. We may use the other information you or Third Party provides to us as part of the recruitment process including to assess your suitability for the role for which you have applied.

Assessing suitability for employment

- 3.6 We do seek to collect such reasonable information as we need to assess your suitability for the role and will not retain it for longer than is necessary but it is within our remit to determine what is reasonable

Background Checks for Regulatory compliance and recruitment

- 3.7 We carry out background checks as part of our recruitment process, in order to comply with our internal compliance requirements or our legal and regulatory obligations. These checks may include information about criminal convictions, regulatory sanctions or findings about members of staff in senior or regulated roles or those with access to commercially sensitive information including but not limited to, non-public information held by or about regulated entities in the group or clients of any affiliate in the group. We may process information about criminal convictions in order to:
 - a) comply with our legal and regulatory obligations;
 - b) protect our commercially sensitive business information and client data and to comply with internal policies and procedures;
 - c) make decisions on any risk (including risks to individuals, clients or the markets that we operate in) of theft, fraud, dishonesty, malpractice, unfitness, serious improper conduct, disclosure or improper use of trade secrets or other commercially sensitive information including client trade data;
 - d) comply with internal governance aimed at preventing or detecting fraud;
 - e) defend a legal claim and to protect your interests (or someone else's interests).
- 3.8 As a regulated business, in order to comply with our legal or regulatory obligations, we frequently are required to disclose this Personal Information to our regulators, relevant supervisory authorities or other Third Parties with similar powers (for example, exchanges).
- 3.9 We may use a Third Party provider to carry out criminal record checks on our behalf and where permitted under applicable law. We ensure that such criminal record checks are carried out in line with data protection law.
- 3.10 We may also receive information about criminal convictions from Third Parties including our regulators, a professional body with which you are registered or former employees.
- 3.11 You will not be subject to decisions that will have a significant impact on you based solely on automated decision-making, unless we have a lawful basis for doing so and have provided notice.

4. Types of Personal Information and who has access to it

On application

- 4.1 We will collect and process any information on your CV or equivalent and if certain information is not included we may ask that additional information is provided. Such information does not have to be provided but it might affect your application if it is not provided.

The types of information we use to assess your application includes:

- a. your name and contact details;
 - b. previous experience;
 - c. education;
 - d. referees;
 - e. for answers to questions relevant to the applicable role.
- 4.2 Our HR department, relevant business personnel and senior management will have access to all of this information. Frequently, depending on the role in question, we share this information with our compliance department.

Assessments

- 4.3 We might ask you to participate in assessment days; complete tests or occupational personality profile questionnaires; and/or to attend an interview – or a combination of these. Information will be generated by you and by us. For example, you might complete a written test or we might take interview notes. This information is held by us
- 4.4 If you are unsuccessful following assessment for the position you have been considered for then, unless you tell us otherwise, we may retain your details on file so that we may proactively contact you should any further suitable vacancies arise. We will hold this data for a maximum of 12 months and thereafter it will be deleted.

Conditional offer

- 4.5 If we make a non-binding or a conditional offer of employment or equivalent we will ask you for information so that we can carry out pre-employment checks. You must successfully complete pre-employment checks to progress to a final offer.
- 4.6 In order to comply with our legal requirements we process information about you to confirm your identity, your right to work and to seek assurance as to your trustworthiness, integrity and reliability.

Once you have received a conditional offer we may ask you to provide:

- a. Proof of your identity – you will be asked to attend our office with original documents to verify your identity, this may be your passport, driver's license or other form of national identification
 - b. Proof of your qualifications – you may be asked to attend our office with original documents or provide copies
- 4.7 You may also be asked to complete a criminal records declaration to declare any unspent convictions.

- 4.8 We may also provide your details to a Third Party to carry out a criminal record check and other verification checks, which will verify your declaration of unspent convictions and other information you have provided.
- 4.9 We may contact your referees, using the details you provide in your application, directly to obtain references.
- 4.10 We may also ask you to complete a questionnaire about your health or undergo a medical test. This is to establish your fitness to work.
- 4.11 We may also ask you to provide specific details in regard of your professional qualifications or academic record in the pursuit of third level and other professional qualifications.
- 4.12 If we make a final offer which has been accepted by you, we will also ask you for the following:
- a. bank details – to process salary payments,
 - b. emergency contact details – so we know who to contact in case you have an emergency at work,
 - c. such other information as may be required by law for you to work for us or for us to provide you and your family with the benefits which we make available such as health insurance.
- 4.13 Final recruitment decisions are made by hiring managers and members of senior management. Relevant information gathered during the application process will be taken into account and may be shared with them.

5. When we share your Personal Information

We share or disclose Personal Information when we use Third Parties who provide elements of our recruitment service for us or if necessary as part of our legal and regulatory obligations. When we share Personal Information, we do so in accordance with data privacy and security requirements. We may also occasionally share non-personal, anonymised, statistical data with Third Parties. We have contracts in place with our Third Party suppliers which means that they cannot do anything with your Personal Information unless we have instructed them to do it. They will not share your Personal Information with any organisation apart from us or where we have agreed that they may do so. They will hold it securely and retain it for the period we instruct.

6. How long do we keep personal information in relation to an application?

- 6.1 Personal data will be retained pursuant to obligation under regulation, statute and legal obligation. The Data Protection Commissioner considers a retention period of 1 year to be appropriate for personal data, where an applicant has applied for positions but has been unsuccessful. In the event that changes to regulation, statute and legal obligation are identified, then this policy will be updated. In some circumstances we may anonymise your Personal Information so that it can no longer be associated with you, in which case we may use such information without further notice to you.

7. Rights of access, correction, erasure, and restriction

- 7.1 It is important that the Personal Information we hold about you is accurate and current. You must keep us informed if your Personal Information changes during your relationship with us, for example, if your

contact address changes. We can have no responsibility in regard of information sent incorrectly if your residential address or personal email address changes and you fail to notify us.

Your rights in connection with Personal Information

7.2 Under certain circumstances, by law you have the right to:

- a. **update, modify, delete or obtain** (commonly known as a "subject access request") a copy of the Personal Information that we hold on you; or
- b. **restrict or stop us** from using any of the Personal Information which we hold about you;

You can request this by contacting the Human Resources Manager by email at HR-Ireland@cantor.com. We endeavour to respond to such requests within a month or less, although we reserve the right to extend this period for complex requests.

7.3 When you submit a request to exercise any of your rights we may require that you validate your identity. This is another appropriate security measure to ensure that Personal Information is not disclosed to any person who has no right to receive it.

7.4 In some cases, there may be a fee for dealing with your request such as where a request is manifestly unfounded or excessive or further copies of materials are required. If you want to review, verify, correct or request erasure of your Personal Information, object to the processing of your Personal Information, please contact the Human Resources Manager by email at HR-Ireland@cantor.com.

7.5 Where appropriate, we will respond to your requests relating to your Personal Information in writing or by email. If you require our response in a different format, please let us know.

8. How to contact us

Please contact us if you have any questions about this Notice or the information we hold about you or how we process your Personal Information at HR-Ireland@cantor.com.

9. Complaints

Filing a complaint. If you are not satisfied with how we manage your Personal Data, you have the right to make a complaint to a data protection regulator. In Ireland, the Data Protection Commissioner may be contacted at <http://www.dataprotection.ie> We would, however, appreciate the chance to deal with your concerns before you approach the ODPC so please contact us in the first instance at HR-Ireland@cantor.com.



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