

# **PRIVACY POLICY**

**PREPONA Sistemas de Testagem e Avaliação S.A.**

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## Summary

1. Introduction	3
2. Objective	3
3. Definitions	3
4. Scope	5
5. To whom it applies	5
6. Amplitude	5
7. Commitment to the Principles of Privacy and Protection of Personal Data	6
8. Legal Bases for Personal Data Processing	6
9. Legal Bases for Sensitive Personal Data Treatment	7
10. Rights of Personal Data Holders	8
11. Duties for the Proper Use of Personal Data	9
12. Relationship with Business Partners and Suppliers	10
13. Data Protection Law Compliance Program	10
14.. Information Security	11
15. International Transfer of Personal Data	11
16. Training	12
17. Monitoring	12

## 1 – Introduction

In 2019, Prepona started adapting the processing of personal data within the scope of its operations as provided by LGPD in Brazil, as well as with GDPR and CCPA,

In conducting its activities, Prepona carries out operations for the processing of personal data according to the interests of the data subjects themselves, respecting their rights. Thus, Prepona can be characterized as a Personal Data Controller, Personal Data Operator, Personal Data Controller and Operator or Personal Data Co-Controller, according to the LGPD definitions, reinforcing, in all positions it occupies, your commitment to compliance with applicable privacy and personal data protection rules.

These activities cover a number of particularities in the processing of personal data, for example, it is necessary to maintain permanent custody of test results and documents and candidate registration data, among others.

The compliance process involves a task of interpreting the Laws to define the legal obligations, diagnosing the pertinent and relevant facts for their application and surveying the flows and processes that contribute or not so that the facts are in accordance with legal documents.

This Policy is part of a broad set of elements that make up Prepona's Internal Controls and Compliance System, whose coordination is in charge of its Board of Directors and should be read and interpreted from the set of documents and regulations that make up the governance structure Prepona's information.

## 2 – Purpose

Prepona's Privacy and Data Protection Policy aims to establish guidelines for the processing of personal data at Prepona, within the scope of the General Data Protection Law (Law No. 13,709 / 2018 - "LGPD"), of General Data Protection Regulation (Regulation EU 2016/679 - "GDPR"), which came into force in May 2018, and other laws on the subject.

This Policy must be understood and applied in conjunction with the obligations provided for in the documents listed below, which deal with information in general, and complement it when applicable:

- i. Work contracts for Prepona employees and other comparable documents, which provide for confidentiality obligations in relation to the information maintained by the Institution.
- ii. Policies and norms for information security procedures, as well as terms and conditions of use, dealing with the confidentiality, integrity and availability of Prepona's information.
- iii. All internal rules regarding the protection of personal data that may be elaborated and updated, from time to time.

## 3 – Definitions

- PERSONAL DATA PROCESSING AGENTS: Personal data controllers and operators.

- ANONIMIZATION: Use of technical, reasonable and available means when processing personal data, by means of which a data loses the possibility of association, directly or indirectly, with an individual. Anonymized data is not considered personal data for the purposes of the LGPD.
- NATIONAL DATA PROTECTION AUTHORITY (“ANPD”): Public administration body responsible for overseeing, implementing and supervising compliance with the LGPD throughout the national territory. ANPD was established by LGPD as a federal public administration body with technical autonomy, a member of the Presidency of the Republic, defining its nature as transitory and liable to be transformed by the Executive Power into an entity of the indirect federal public administration, submitted to a special and linked municipal regime. to the Presidency of the Republic.
- PERSONAL DATA CONTROLLER: Individual or legal entity, under public or private law, who is responsible for decisions regarding the processing of personal data.
- PERSONAL DATA: Information related to the identified or identifiable natural person. Personal data are also considered to be those used to form the behavioral profile of a certain natural person.
- SENSITIVE PERSONAL DATA: Personal data on racial or ethnic origin, religious belief, political opinion, union membership or organization of a religious, philosophical or political nature, data relating to health or sexual life, genetic or biometric data when linked to the person Natural.
- DATA PROTECTION OFFICER (“DPO”): Individual or legal entity appointed by the Treatment Agent to act as a communication channel between the Controller, data subjects and the National Data Protection Authority. He will be responsible for implementing the Compliance Program to the personal data protection laws and conducting activities related to the protection of personal data in the Internal Controls and Compliance System.
- SUPPLIERS: Suppliers to other contracted and subcontracted third parties, natural or legal persons, not classified as commercial partners.
- GENERAL DATA PROTECTION LAW (“LGPD”): Normative diploma (Law No. 13,709, of August 14, 2018) that provides for the processing of personal data in digital or physical means carried out by a natural person or by a legal person, of public or private law, aiming to defend the holders of personal data and at the same time allow the use of the data for different purposes, balancing interests and harmonizing the protection of the human person with technological and economic development.
- PERSONAL DATA OPERATOR: Individual or legal entity, under public or private law, which handles the processing of personal data on behalf of the Controller.
- COMMERCIAL PARTNERS: Contracted third parties, whether individuals or legal entities, who act on behalf of Prepona: Consultants, Partners and Commercial Agents are considered commercial partners.
- INFORMATION SECURITY GOVERNANCE PROGRAM: Consisting of a set of elements that, operated in an integrated and dynamic way, help the Institution to achieve its strategic objectives, as well as its mission, vision and values, guiding its development and ensuring with reasonable degree of certainty that the risks that could jeopardize its sustainability and growth will be managed efficiently and effectively.

- THIRD PARTY: It is any natural or legal person hired by Prepona to develop or assist in the development of its activities, both as suppliers of goods or services, as well as commercial partners.
- PERSONAL DATA HOLDER (“HOLDER”): Natural person to whom the personal data that are being processed refer to.
- TREATMENT OF PERSONAL DATA (“TREATMENT”): Any operation performed with personal data, such as those referring to the collection, production, reception, classification, use, access, reproduction, transmission, distribution, processing, filing, storage, disposal, evaluation, information control, modification, communication, transfer, dissemination or extraction.

## 4 – Scope

This Policy establishes Prepona's guidelines for the protection and use of personal data that may be treated in its activities, with reference to the LGPD - General Law for the Protection of Personal Data, among other national and international standards regarding privacy and data protection. personal data, with special attention to the GPDR - General Data Protection Regulation.

## 5 – To whom it applies

This Policy applies (i) to Prepona employees; (ii) to all third parties, whether individuals or legal entities that work for or on behalf of Prepona in operations that involve the processing of personal data that are carried out within the scope of the activities conducted by Prepona; (iii) personal data processing agents external to Prepona who are in any way related to the Institution; and (iv) to holders of personal data, whose data is processed by Prepona.

Adherence to Prepona's compliance program with the personal data protection laws and the normative diplomas resulting from it, is mandatory for all the recipients indicated above as they relate to Prepona. All operations involving the processing of personal data that are carried out within the scope of the activities conducted by Prepona are subject to such regulations.

## 6 – Amplitude

This Policy establishes guidelines and rules to ensure that its recipients understand and comply with the laws that deal with the protection of personal data in all interactions with current and future personal data holders, third parties and personal data processing agents external to Prepona within the scope of their activities.

In addition to the concepts defined by the rules that deal with privacy and protection of personal data, the information covered by this Policy includes all data held, used or transmitted by or on behalf of Prepona, in any type of media. This includes personal data recorded on paper, kept on computer systems or portable devices, as well as personal data transmitted orally.

## 7 – Commitment to the Principles of Privacy and Protection of Personal Data

Prepona will comply with the following principles of personal data protection when processing personal data:

- **PURPOSE:** Prepona will carry out the processing of personal data only for legitimate, specific, explicit and informed purposes to the holder of personal data, without the possibility of further processing in a manner incompatible with those purposes.
- **FITNESS:** Prepona will carry out the processing of personal data in a manner compatible with the purposes informed to the data subject, and in accordance with the context of the processing.
- **NEED:** the processing of personal data carried out by Prepona will be limited to the minimum necessary for the fulfillment of its purposes, with the coverage of the relevant data, proportional and not excessive in relation to the purposes of the treatment.
- **FREE ACCESS:** Prepona will guarantee holders of personal data easy and free consultation on the form and duration of the treatment, as well as on the completeness of their data.
- **DATA QUALITY:** Prepona will guarantee, to the holders of personal data, the accuracy, clarity, relevance and updating of the data, according to the need and for the fulfillment of the purpose of its treatment.
- **TRANSPARENCY:** Prepona will guarantee, to the holders of personal data, clear, accurate and easily accessible information about the performance of the treatment and the respective personal data processing agents, observing the commercial and industrial secrets.
- **SECURITY:** Prepona will use technical and administrative measures to protect personal data from unauthorized access and accidental or unlawful situations of destruction, loss, alteration, communication or dissemination.
- **PREVENTION:** Prepona will adopt measures to prevent the occurrence of damages due to the processing of personal data.
- **NON-DISCRIMINATION:** Prepona will guarantee the impossibility of carrying out the processing of personal data for illegal or abusive discriminatory purposes.
- **ACCOUNTABILITY AND ACCOUNTABILITY:** Prepona is committed to demonstrating the adoption of effective measures capable of proving the observance and compliance with the rules on the protection of personal data, and the effectiveness of these measures.

## 8 – Legal Bases for Personal Data Processing

All operations involving the processing of personal data within the scope of Prepona's activities follow the legal requirements of the LGPD, stipulating the purpose and designation of those responsible for processing the data.

Prepona assumes as an institutional commitment the periodic evaluation of the purposes of its processing operations, considering the context in which these operations are inserted, the risks and benefits that can be generated to the holder of personal data, and the legitimate interest of the Institution.

Prepona may carry out personal data processing operations:

- (i) By providing consent by the holder of personal data.

- (ii) For the fulfillment of a legal or regulatory obligation.
- (iii) To carry out studies by a research body.
- (iv) When necessary, for the execution of a contract or preliminary procedures related to a contract to which the holder of personal data is a party.
- (v) For the regular exercise of rights in judicial, administrative or arbitration proceedings.
- (vi) For the protection of the life or physical safety of the holder of personal data or of a third party.
- (vii) For the protection of health, exclusively, in a procedure performed by health professionals, health services or health authority.
- (viii) When necessary, to serve the legitimate interests of Prepona or third parties.
- (ix) For credit protection.

Prepona will carry out records of its treatment operations based on treatment categories, each of which is described according to its purpose (s), serving as assistance and support for its periodic assessment of compliance with the regulatory framework of protection. personal data.

The records of the processing operations of personal data may be consulted by the holder of the personal data, as well as by competent public authorities for access and retention of the data on his behalf, safeguarding the rights of the holder of the personal data.

## 9 – Legal Bases for Sensitive Personal Data Treatment

Prepona recognizes that the processing of sensitive personal data poses higher risks to the holder of personal data and for this reason the Institution is committed to safeguarding and taking special care in relation to the processing of sensitive personal data.

This commitment incorporates the sensitive personal data listed in art. 5, item II of the LGPD, as well as the financial data that, for the purposes of this Policy and the Prepona LGPD Compliance Program, will have the same status as the sensitive personal data.

\* Personal data of children and adolescents will be treated with the same level of care required and offered as sensitive personal data but will also be subject to the specific provisions established in Chapter II, Section III, of the LGPD, and other specific applicable rules.

Prepona's operations to process sensitive personal data may only be carried out:

- (i) When the holder of personal data or his legal guardian consents, in a specific and prominent way, for specific purposes.
- (ii) Without providing consent from the holder of personal data, in cases where processing is indispensable for:
  - a. The fulfillment of legal or regulatory obligation by Prepona.
  - b. The carrying out of studies when Prepona is in the position of Research Body, guaranteed, whenever possible, the anonymization of sensitive personal data.
  - c. The regular exercise of rights, including in contracts and in legal proceedings,

administrative and arbitration.

d. Protection of the life or physical safety of the holder of personal data or third parties; and.

e. Guardianship of health, exclusively, in a procedure performed by health professionals, health services or health authority; or

f. Ensuring the prevention of fraud and the security of the holder of personal data, in the processes of identification and authentication of registration in electronic systems.

## 10 – Rights of Personal Data Holders

Prepona, in the context of its personal data processing activities, recognizes and respects the rights of personal data holders, which are:

- **RIGHT TO CONFIRM THE EXISTENCE OF THE TREATMENT:** the holder of personal data may question, with Prepona, if there are any processing operations related to his personal data.
- **RIGHT OF ACCESS:** the holder of personal data can request and receive a copy of all personal data collected and stored.
- **RIGHT OF CORRECTION:** the holder of personal data may request the correction of personal data that is incomplete, inaccurate or out of date.
- **RIGHT OF ELIMINATION:** the holder of personal data may request the deletion of his personal data from databases managed by Prepona, unless there is a legitimate reason for their maintenance, such as a possible legal obligation to retain data or study by an agency. research. In the event of elimination, the Institution reserves the right to choose the elimination procedure employed, committing itself to using means that guarantee security and avoid data recovery.
- **RIGHT TO REQUEST SUSPENSION OF ILLICIT PROCESSING OF PERSONAL DATA:** at any time, the holder of personal data may request from Prepona the anonymization, blocking or elimination of his personal data that has been recognized by the competent authority as unnecessary, excessive or treated in non-compliance with the provisions of the LGPD.
- **RIGHT OF OPPOSITION TO A PROCESSING OF PERSONAL DATA:** in the case of processing personal data not based on obtaining consent, the holder of personal data may present an opposition to Prepona, which will be analyzed based on the criteria present in the LGPD.
- **RIGHT TO DATA PORTABILITY:** the holder of personal data may request Prepona to have his personal data made available to another service or product provider, respecting the Institution's commercial and industrial secrets, as well as the technical limits of its infrastructure.
- **RIGHT TO REVOCATE CONSENT:** the holder of personal data has the right to revoke his consent. However, it is emphasized that this will not affect the legality of any treatment carried out before the withdrawal. In the event of revocation of consent, it may not be possible to provide certain services. This being the case, the holder of personal data will be informed.

Prepona reiterates its commitment to the rights of personal data holders to transparency and adequate information, highlighting the provision of:



(i) Information from public and private entities with which Prepona has made shared use of data.

(ii) Information about the possibility of not providing consent and about the consequences of the refusal.

## 11 – Duties for the Proper Use of Personal Data

The duties of care, attention and proper use of personal data extend to all those who apply this Policy, in the development of their work and activities at Prepona, committing themselves to assist the Institution in fulfilling its obligations in the implementation of its strategy of privacy and protection of personal data.

- SPECIFIC DUTIES OF PERSONAL DATA HOLDERS:

It is incumbent on the holders of personal data to communicate to Prepona about any changes in their personal data in their relationship with the Institution (e.g. change of address), notifying it preferably in the following order:

(i) By e-mail addressed directly to the DPO; and

(ii) By physical means (e.g. letter) addressed directly to the DPO.

- SPECIFIC DUTIES OF EMPLOYEES OF Prepona:

The sharing of personal data of personal data holders between the Prepona Units is allowed, as long as their purpose and legal basis are respected, observing the principle of necessity, and the processing of personal data is always restricted to the development of activities authorized by the Institution.

- DUTIES OF PREPONA EMPLOYEES, PERSONAL DATA PROCESSING AGENTS AND THIRD PARTIES:

(i) Not making available or guaranteeing access to personal data held by Prepona for any unauthorized or competent persons in accordance with the Institution's rules.

(ii) Obtain the necessary authorization for data processing and have the necessary documents that demonstrate the designation of its competence to carry out the lawful data processing operation, under the terms of the Prepona normative framework that will be prepared.

(iii) Comply with the rules, recommendations, information security guidelines and prevention of information security incidents published by the Institution (eg Information Security Policy, Information Security Incident Response Plan, password management guidelines, among others others).

- DUTIES OF ALL RECIPIENTS IN THIS POLICY:

All recipients of this Policy have a duty to contact the Prepona DPO, when they suspect of the following actions occurring:

(i) Personal data processing operation carried out without a legal basis that justifies it.

(ii) Processing of personal data without authorization by Prepona within the scope of the activities it develops.

(iii) Personal data processing operation that is carried out in non-compliance with Prepona's Information Security Policy.

(iv) Unauthorized elimination or destruction by Prepona of personal data from digital platforms or physical collections in all the Institution's facilities or used by it.

(v) Any other violation of this Policy or any of the data protection principles set out in item 7 above.

## 12 – Relationship with Third Parties

The LGPD establishes that liability in the case of property, moral, individual or collective damages arising from violations of the personal data protection legislation is joint and several, ie, all agents in the chain involving the processing of personal data can be held responsible for any damages caused.

In this sense, the possibility of Prepona being held responsible for the actions of third parties implies the need to use the best efforts to verify, evaluate and ensure that such third parties comply with the applicable data protection laws.

- Thus, all contracts with third parties must contain clauses referring to the protection of personal data, establishing duties and obligations involving the subject, and attesting the third party's commitment to the applicable personal data protection laws. It is also noteworthy that these contracts will be reviewed and submitted to the approval of the DPO and its technical team, according to the current regulatory framework.
- All third parties must sign the term of acceptance of this Policy, the Information Security Policy and the Security Incident Response Plan, submitting the activities contracted within the scope of the relationship with Prepona also to these regulations.

## 13 – Personal Data Protection Law Compliance Program

The LGPD Compliance Program aims to guarantee Prepona's commitment to ensure the adequate treatment of personal data for legitimate purposes that may be the object of its activities and reinforces its commitment to good privacy and data protection practices with the following actions:

- Production and dissemination of information, regardless of format, that describes the individual responsibilities of the recipients of this Policy in the scope of privacy and protection of personal data.
- Providing training, guidance and advice to Prepona employees and third parties, including, but not limited to, online courses, workshops, internal meetings, regular conversations, lectures, among other initiatives; sharing content made available in digital and face-to-face format.
- Incorporation of concerns and care in the treatment of personal data in all stages of its activities, including, but not limited to administrative routines, research activities, service provision, academic activities, among others.
- Identification and in-depth assessment of risks that may compromise the achievement of Prepona's objectives in the area of privacy and protection of personal data; define, create and implement action plans and policies to mitigate the identified risks; in addition to

maintaining a continuous assessment of the scenarios in order to assess whether the measures implemented do not require new guidelines and attitudes.

As of the entry into force of the LGPD, Prepona's Data Protection Officer (DPO), assisted by its technical team, will have the following responsibilities:

1. Conduct the LGPD Compliance Program in Prepona, ensuring its supervision.
2. Monitor compliance with applicable personal data protection laws, in accordance with Prepona's policies.
3. Guide the recipients of this Policy regarding Prepona's privacy and protection of personal data.
4. Ensure that data protection rules and guidelines are informed and incorporated into Prepona's routines and practices.
5. Organize training on personal data protection at Prepona.
6. Provide clarifications, offer information and report on the operations of processing personal data and their impacts to the competent public authorities (e.g. Prosecutor, National Authority for the Protection of Personal Data, etc.).
7. Respond to requests and complaints from holders of personal data whose data have been processed by a Prepona unit.
8. Assist in audits or any other assessment and monitoring measures involving data protection.
9. Prepare reports on the impact of privacy and data protection, technical opinions and document review with regard to data protection.

## 14 – INFORMATION SECURITY

The rules for information security and prevention of personal data incidents are contained in Prepona's Information Security Policy and in the internal regulations and documents related to the topic.

Prepona reinforces the commitment embodied in its Information Security Policy in employing appropriate technical and organizational measures in dealing with personal data and making efforts to protect the personal data of personal data holders against unauthorized access, loss, destruction, non-sharing. authorized, among other hypotheses.

## 15 – INTERNATIONAL TRANSFER OF PERSONAL DATA

In the event that Prepona is authorized to process personal data regardless of the data subject's consent, Prepona may transfer personal data to other countries provided that, alternatively:

- (i) The country is classified as having an adequate level of data protection assigned by the ANPD or the transfer is authorized by the ANPD.
- (ii) As long as there is no list of countries of an adequate level released by the ANPD, the country is classified by the European Commission, by means of an Adequacy decision, as a country of adequate level to the criteria of the GDPR.

(iii) The international personal data processing agent offers Prepona at least one of the safeguards below:

1. Codes of Conduct regularly issued or binding corporate rules approved by the European Commission.
2. Standard contractual clauses issued by the ANPD or the European Commission.
3. Seals and Certificates of conformity or adequacy to the protection of personal data granted by entities recognized by the ANPD or by the European Commission.

(iv) Obtain explicit and outstanding consent from the holders of personal data to carry out international personal data transfer operations, with prior information on the international character of the operation and noting that the country does not have an adequate level of data protection recognized or not there are safeguards for the compliance of the processing agent, as the case may be.

In the cases in which Prepona is authorized to process personal data based on consent, Prepona may transfer personal data to other countries provided that it obtains explicit and outstanding consent from the personal data holders to carry out international personal data transfer operations, with prior information on the international nature of the operation.

\* If the country does not have an adequate level of recognized data protection or there are no safeguards for the compliance of the processing agent, such information should be provided to the holder of personal data in advance, in order to consent to the risks of the operation.

Prepona undertakes to inform the holders of personal data on its digital platforms (eg websites, applications, etc.) about the occurrence of international personal data transfer operations, designating the set of forwarded data, the purpose of sending and its destiny.

## 16 – TRAINING

The recipients of this Policy undertake to participate in the training, workshops, meetings and training proposed by the DPO to expand the culture of protection of personal data at the Institution.

Prepona employees whose duties require regular treatment of personal data, or those responsible for implementing this Policy undertake to participate in additional training to help them understand their duties and how to fulfill them.

## 17 – MONITORING

Prepona recognizes its commitment to ensure the adequate treatment of personal data for legitimate purposes that may be the object of its activities and reinforces its commitment to good privacy and data protection practices, committing itself to maintaining its LGPD Compliance Program updated with the rules and recommendations issued by the ANPD or other competent authorities.

Prepona undertakes to revisit this Policy periodically and, at its discretion, to promote changes that update its provisions in order to reinforce the Institution's permanent commitment to privacy and the protection of personal data, and all changes made in due course by official channels of the Institution.

**PRIVACY POLICY AND PERSONAL DATA PROTECTION**

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Prepona's Personal Data Protection Officer - DPO Data Protection Officer: Mr. Keith A. Rowland, appointed at the Administrative Council Meeting of 03/16/2021

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