



## **Newmarket Scientific Data Protection Policy – October 2020**

### **1. INTRODUCTION**

This Policy sets out the obligations of Newmarket Scientific a company registered in The United Kingdom under registration number 06805443, whose registered office is at 9-10 Rosemary House, Lanwades Business Park, Kennett, Newmarket, CB8 7PN, regarding data protection and the rights of customers and other business contacts (“data subjects”) in respect of their personal data under EU Regulation 2016/679 General Data Protection Regulation (“GDPR”).

The GDPR defines “personal data” as any information relating to an identified or identifiable natural person (a “data subject”); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier, or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural, or social identity of that natural person.

This Policy sets out Newmarket Scientific’s obligations regarding the collection, processing, transfer, storage, and disposal of personal data. The procedures and principles set out herein must be followed at all times by Newmarket Scientific, its employees, agents, contractors, or other parties working on behalf of Newmarket Scientific.

Newmarket Scientific is committed not only to the letter of the law, but also to the spirit of the law and places high importance on the correct, lawful, and fair handling of all personal data, respecting the legal rights, privacy, and trust of all individuals with whom it deals.

### **2. THE DATA PROTECTION PRINCIPLES**

This Policy aims to ensure compliance with the GDPR. The GDPR sets out the following principles with which any party handling personal data must comply. All personal data must be:

- 2.1 Processed lawfully, fairly, and in a transparent manner in relation to the data subject.
- 2.2 Collected for specified, explicit, and legitimate purposes and not further processed in a manner that is incompatible with those purposes. Further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purposes.
- 2.3 Adequate, relevant, and limited to what is necessary in relation to the purposes for which it is processed.
- 2.4 Accurate and, where necessary, kept up to date. Every reasonable step must be taken to ensure that personal data that is inaccurate, having regard to the purposes for which it is processed, is erased, or rectified without delay.
- 2.5 Kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data is processed. Personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes, or statistical purposes, subject to implementation of the appropriate technical and organisational measures required by the GDPR in order to safeguard the rights and freedoms of the data subject.
- 2.6 Processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction, or damage, using appropriate technical or organisational measures.

### 3. THE RIGHTS OF DATA SUBJECTS

The GDPR sets out the following rights applicable to data subjects (please refer to the parts of this policy indicated for further details):

- 3.1 The right to be informed (Part 12).
- 3.2 The right of access (Part 13);
- 3.3 The right to rectification (Part 14);
- 3.4 The right to erasure (also known as the 'right to be forgotten') (Part 15);
- 3.5 The right to restrict processing (Part 16);
- 3.6 The right to data portability (this is not relevant to the data collected and processed by Newmarket Scientific and is not covered further in this policy);
- 3.7 The right to object (Part 18); and
- 3.8 Rights with respect to automated decision-making and profiling (Parts 19 and 20).

### 4. LAWFUL, FAIR, AND TRANSPARENT DATA PROCESSING

4.1 The GDPR seeks to ensure that personal data is processed lawfully, fairly, and transparently, without adversely affecting the rights of the data subject. The GDPR states that processing of personal data shall be lawful if at least one of the following applies:

- 4.1.1 The data subject has given consent to the processing of their personal data for one or more specific purposes;
  - 4.1.2 The processing is necessary for the performance of a contract to which the data subject is a party, or in order to take steps at the request of the data subject prior to entering into a contract with them;
  - 4.1.3 The processing is necessary for compliance with a legal obligation to which the data controller is subject;
  - 4.1.4 The processing is necessary to protect the vital interests of the data subject or of another natural person;
  - 4.1.5 The processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the data controller; or
  - 4.1.6 The processing is necessary for the purposes of the legitimate interests pursued by the data controller or by a third party, except where such interests are overridden by the fundamental rights and freedoms of the data subject which require protection of personal data, in particular where the data subject is a child.
- 4.2 Newmarket Scientific does not collect, process, transfer or store any "special category data" (also known as "sensitive personal data") (for example, data concerning the data subject's race, ethnicity, politics, religion, trade union membership, genetics, biometrics (if used for ID purposes), health, sex life, or sexual orientation).

### 5. SPECIFIED, EXPLICIT, AND LEGITIMATE PURPOSES

- 5.1 Newmarket Scientific collects and processes the personal data set out in Part 18 of this Policy. This includes:
  - 5.1.1 Personal data collected directly from data subjects; and
  - 5.1.2 Personal data obtained from third parties.
- 5.2 Newmarket Scientific only collects, processes, and holds personal data for the specific

purposes set out in Part 18 of this Policy (or for other purposes expressly permitted by the GDPR).

- 5.3 Data subjects are informed of the purpose or purposes for which Newmarket Scientific uses their personal data. Please refer to Part 12 for more information on keeping data subjects informed.

## 6. **ADEQUATE, RELEVANT, AND LIMITED DATA PROCESSING**

Newmarket Scientific will only collect and process personal data for and to the extent necessary for the specific purpose or purposes of which data subjects have been informed (or will be informed) as under Part 5, above, and as set out in Part 18, below.

## 7. **ACCURACY OF DATA AND KEEPING DATA UP-TO-DATE**

7.1 Newmarket Scientific shall make efforts to ensure that all personal data collected, processed, and held by it is kept accurate and up-to-date. This includes, but is not limited to, the rectification of personal data at the request of a data subject, as set out in Part 14, below.

7.2 The accuracy of personal data shall be checked when it is collected and when further processed and at regular intervals thereafter. If any personal data is found to be inaccurate or out-of-date, all reasonable steps will be taken without delay to amend or erase that data, as appropriate.

## 8. **DATA RETENTION**

8.1 Newmarket Scientific shall not keep personal data for any longer than is necessary in light of the purpose or purposes for which that personal data was originally collected, held, and processed.

8.2 When personal data is no longer required, all reasonable steps will be taken to erase or otherwise dispose of it without delay.

8.3 For full details of Newmarket Scientific's approach to data retention, including retention periods for specific personal data types held by Newmarket Scientific, please refer to our Data Retention Policy.

## 9. **SECURE PROCESSING**

Newmarket Scientific shall ensure that all personal data collected, held, and processed is kept secure and protected against unauthorised or unlawful processing and against accidental loss, destruction, or damage. Further details of the technical and organisational measures which shall be taken are provided in Parts 19 to 26 of this Policy.

## 10. **ACCOUNTABILITY AND RECORD-KEEPING**

10.1 Newmarket Scientific's Data Protection Officer is Rick Bhatt ([gdp@nktscientific.com](mailto:gdp@nktscientific.com))

10.2 The Data Protection Officer shall be responsible for overseeing the implementation of this Policy and for monitoring compliance with this Policy, Newmarket Scientific's other data protection-related policies, and with the GDPR and other applicable data protection legislation.

- 10.3 Newmarket Scientific shall keep written internal records of all personal data collection, holding, and processing, which shall incorporate the following information:
- 10.3.1 The name and details of Newmarket Scientific, its Data Protection Officer, and any applicable third-party data processors;
  - 10.3.2 The purposes for which Newmarket Scientific collects, holds, and processes personal data;
  - 10.3.3 Details of the categories of personal data collected, held, and processed by Newmarket Scientific, and the categories of data subject to which that personal data relates;
  - 10.3.4 Details of any transfers of personal data to non-EEA countries including all mechanisms and security safeguards;
  - 10.3.5 Details of how long personal data will be retained by Newmarket Scientific (please refer to Newmarket Scientific's Data Retention Policy); and
  - 10.3.6 Detailed descriptions of all technical and organisational measures taken by Newmarket Scientific to ensure the security of personal data.

## 11. DATA PROTECTION IMPACT ASSESSMENTS

- 11.1 Newmarket Scientific shall carry out Data Protection Impact Assessments for any and all new projects and/or new uses of personal data, which involve the use of new technologies and the processing involved is likely to result in a high risk to the rights and freedoms of data subjects under the GDPR.
- 11.2 Data Protection Impact Assessments shall be overseen by the Data Protection Officer and shall address the following:
- 11.2.1 The type(s) of personal data that will be collected, held, and processed;
  - 11.2.2 The purpose(s) for which personal data is to be used;
  - 11.2.3 Newmarket Scientific's objectives;
  - 11.2.4 How personal data is to be used;
  - 11.2.5 The parties (internal and/or external) who are to be consulted;
  - 11.2.6 The necessity and proportionality of the data processing with respect to the purpose(s) for which it is being processed;
  - 11.2.7 Risks posed to data subjects;
  - 11.2.8 Risks posed both within and to Newmarket Scientific; and
  - 11.2.9 Proposed measures to minimise and handle identified risks.

## 12. KEEPING DATA SUBJECTS INFORMED

- 12.1 Newmarket Scientific shall provide the information set out in Part 12.2 to every data subject:
- 12.1.1 Where personal data is collected directly from data subjects, those data subjects will be informed of its purpose at the time of collection; and
  - 12.1.2 Where personal data is obtained from a third party and the personal data is used to communicate with the data subject, the relevant data subjects will be informed of the origin of the data and the purpose for contacting them.

12.2 The following information shall be provided. Notification of and the provision of access to this policy serves as this information being provided where this policy contains the required information:

12.2.1 Details of Newmarket Scientific including, but not limited to, the identity of its Data Protection Officer;

12.2.2 The purpose(s) for which the personal data is being collected and will be processed (as detailed in Part 18 of this Policy) and the legal basis justifying its collection and processing;

12.2.3 Where applicable, the legitimate interests upon which Newmarket Scientific is justifying its collection and processing of the personal data;

12.2.4 Where the personal data is not obtained directly from the data subject, the categories of personal data collected and processed;

12.2.5 Details of data retention;

12.2.6 Details of the data subject's rights under the GDPR;

12.2.7 Details of the data subject's right to withdraw their consent to Newmarket Scientific's processing of their personal data at any time;

12.2.8 Details of the data subject's right to complain to the Information Commissioner's Office (the "supervisory authority" under GDPR <https://ico.org.uk/global/contact-us>);

12.2.9 Where applicable, details of any legal or contractual requirement or obligation necessitating the collection and processing of the personal data and details of any consequences of failing to provide it.

### 13. DATA SUBJECT ACCESS

13.1 Data subjects may make subject access requests ("SARs") at any time to find out more about the personal data which Newmarket Scientific holds about them, what it is doing with that personal data, and why.

13.2 Employees wishing to make a SAR should do so to Newmarket Scientific's Data Protection Officer as detailed in section 10.1.

13.3 Responses to SARs shall normally be made within one month of receipt, however this may be extended by up to two months if the SAR is complex and/or numerous requests are made. If such additional time is required, the data subject shall be informed.

13.4 All SARs received shall be handled by Newmarket Scientific's Data Protection Officer.

13.5 Newmarket Scientific does not charge a fee for the handling of normal SARs. Newmarket Scientific reserves the right to charge reasonable fees for additional copies of information that has already been supplied to a data subject, and for requests that are manifestly unfounded or excessive, particularly where such requests are repetitive.

### 14. RECTIFICATION OF PERSONAL DATA

14.1 Data subjects have the right to require Newmarket Scientific to rectify any of their personal data that is inaccurate or incomplete.

14.2 Newmarket Scientific shall rectify the personal data in question, and inform the data subject of that rectification, within one month of the data subject informing Newmarket Scientific of the issue. The period can be extended by up to two months in the case of complex requests. If such additional time is required, the data subject shall be informed.

## 15. **ERASURE OF PERSONAL DATA**

- 15.1 Data subjects have the right to request that Newmarket Scientific erases the personal data it holds about them in the following circumstances:
- 15.1.1 It is no longer necessary for Newmarket Scientific to hold that personal data with respect to the purpose(s) for which it was originally collected or processed;
  - 15.1.2 The data subject wishes to withdraw their consent to Newmarket Scientific holding and processing their personal data;
  - 15.1.3 The data subject objects to Newmarket Scientific holding and processing their personal data (and there is no overriding legitimate interest to allow Newmarket Scientific to continue doing so) (see Part 17 of this Policy for further details concerning the right to object);
  - 15.1.4 The personal data has been processed unlawfully;
  - 15.1.5 The personal data needs to be erased in order for Newmarket Scientific to comply with a particular legal obligation.
- 15.2 Unless Newmarket Scientific has reasonable grounds to refuse to erase personal data, all requests for erasure shall be complied with, and the data subject informed of the erasure, within one month of receipt of the data subject's request. The period can be extended by up to two months in the case of complex requests. If such additional time is required, the data subject shall be informed.

## 16. **RESTRICTION OF PERSONAL DATA PROCESSING**

- 16.1 Data subjects may request that Newmarket Scientific ceases processing the personal data it holds about them. If a data subject makes such a request, Newmarket Scientific shall retain only the amount of personal data concerning that data subject (if any) that is necessary to ensure that the personal data in question is not processed further.

## 17. **OBJECTIONS TO PERSONAL DATA PROCESSING**

- 17.1 Data subjects have the right to object to Newmarket Scientific processing their personal data based on legitimate interests.
- 17.2 Where a data subject objects to Newmarket Scientific processing their personal data based on its legitimate interests, Newmarket Scientific shall cease such processing immediately, except where Newmarket Scientific must process the data for legal reasons where the data must be kept for business records (such as for an invoice or in relation to an order provided by the data subject) or where that the processing is necessary for the conduct of legal claims.
- 17.3 Where a data subject objects to Newmarket Scientific processing their personal data for direct marketing purposes, Newmarket Scientific shall cease such processing immediately.

## 18. **PERSONAL DATA COLLECTED, HELD, AND PROCESSED**

The following personal data is collected, held, and processed by Newmarket Scientific (for details of data retention, please refer to Newmarket Scientific's Data Retention Policy):

Type of Data	Purpose of Data
Name and Title	This information is used to identify an individual in our records, so we can record our interactions with them and to contact the individual as part of our legitimate business interests (please see the Newmarket Scientific Privacy Policy part 3.3 for more information). This data is not further processed in any other way.
Address	
Email Address	
Phone number	
Research/Product interests	Used to ensure we are only contacting an individual with information relevant to them as part of our legitimate business interests.
Record of communications	This is a record of our communications with an individual including emails, letters and other forms of communication. We use it simply as a record of our interactions and it is not processed further in any other way.
Accounts and order information	This data is collected as part of our order processing and accounting procedures (the processing of customers' orders and the associated invoicing) and is collected and processed solely for this purpose.

## 19. DATA SECURITY - TRANSFERRING PERSONAL DATA AND COMMUNICATIONS

Newmarket Scientific shall ensure that the following measures are taken with respect to all communications and other transfers involving personal data:

- 19.1 All emails containing personal data are stored securely.
- 19.2 Personal data may be transmitted over secure networks only; transmission over unsecured networks is not permitted in any circumstances;
- 19.3 Where personal data is to be sent by facsimile transmission the recipient should be informed in advance of the transmission and should be waiting by the fax machine to receive the data;
- 19.4 Where personal data is to be transferred in hardcopy form it should be passed directly to the recipient
- 19.5 All personal data to be transferred physically (including to our accountants' offices for end of year processing), whether in hardcopy form or on removable electronic media shall be transferred in a suitable container marked "confidential" and at no point should the data be left unattended.

## 20. DATA SECURITY - STORAGE

Newmarket Scientific shall ensure that the following measures are taken with respect to the storage of personal data:

- 20.1 All electronic copies of personal data must be stored securely using appropriate passwords as detailed in part 26 of this policy. Electronic copies may include emails or other electronic documents.
- 20.2 All hardcopies of personal data, along with any electronic copies stored on physical, removable media must be stored securely. This may include storage at our offices, or in the offices of those providing financial services to Newmarket Scientific.
- 20.3 No personal data should be stored on any mobile device (including, but not limited to, laptops, tablets, and smartphones), whether such device belongs to Newmarket Scientific

or otherwise without the formal approval of the managing director and, in the event of such approval, strictly in accordance with all instructions and limitations described at the time the approval is given, and for no longer than is absolutely necessary.

- 20.4 No personal data should be transferred to any device personally belonging to an employee and personal data may only be transferred to devices belonging to agents, contractors, or other parties working on behalf of Newmarket Scientific where the party in question has agreed to comply fully with the letter and spirit of this Policy and of the GDPR (which may include demonstrating to Newmarket Scientific that all suitable technical and organisational measures have been taken).

## **21. DATA SECURITY - DISPOSAL**

When any personal data is to be erased or otherwise disposed of for any reason (including where copies have been made and are no longer needed), it should be securely deleted and disposed of. For further information on the deletion and disposal of personal data, please refer to Newmarket Scientific's Data Retention Policy.

## **22. DATA SECURITY - USE OF PERSONAL DATA**

Newmarket Scientific shall ensure that the following measures are taken with respect to the use of personal data:

- 22.1 No personal data may be shared informally and if an employee, agent, sub-contractor, or other party working on behalf of Newmarket Scientific requires access to any personal data that they do not already have access to, such access should be formally requested from the managing director.
- 22.2 No personal data may be transferred to any employees, agents, contractors, or other parties, whether such parties are working on behalf of Newmarket Scientific or not, without the authorisation of the managing director.
- 22.3 Personal data must be handled with care at all times and should not be left unattended or on view to unauthorised employees, agents, sub-contractors, or other parties at any time;
- 22.4 If personal data is being viewed on a computer screen and the computer in question is to be left unattended for any period of time, the user must lock the computer and screen before leaving it; and
- 22.5 Where personal data held by Newmarket Scientific is used for marketing purposes, it shall be the responsibility of the managing director to ensure that the appropriate consent is obtained and that no data subjects have opted out of being contacted by Newmarket Scientific

## **23. DATA SECURITY - IT SECURITY**

Newmarket Scientific shall ensure that the following measures are taken with respect to IT and information security:

- 23.1 All passwords used to protect personal data should be changed regularly and should not use words or phrases that can be easily guessed or otherwise compromised. All passwords must contain a combination of uppercase and lowercase letters, numbers, and symbols.
- 23.2 Under no circumstances should any passwords be written down or shared between any employees, agents, contractors, or other parties working on behalf of Newmarket Scientific, irrespective of seniority or department. If a password is forgotten, it must be reset using the applicable method. IT staff do not have access to passwords;



- 23.3 All software (including, but not limited to, applications and operating systems) shall be kept up-to-date. Newmarket Scientific's IT staff shall be responsible for installing any and all security-related updates as soon as reasonably and practically possible, unless there are valid technical reasons not to do so; and
- 23.4 No software may be installed on any Company-owned computer or device without the prior approval of the managing director or the data protection officer.

## 24. ORGANISATIONAL MEASURES

Newmarket Scientific shall ensure that the following measures are taken with respect to the collection, holding, and processing of personal data:

- 24.1 All employees, agents, contractors, or other parties working on behalf of Newmarket Scientific shall be made fully aware of both their individual responsibilities and Newmarket Scientific's responsibilities under the GDPR and under this Policy, and shall be provided with a copy of this Policy;
- 24.2 Only employees, agents, sub-contractors, or other parties working on behalf of Newmarket Scientific that need access to, and use of, personal data in order to carry out their assigned duties correctly shall have access to personal data held by Newmarket Scientific;
- 24.3 All employees, agents, contractors, or other parties working on behalf of Newmarket Scientific handling personal data will be appropriately trained to do so;
- 24.4 All employees, agents, contractors, or other parties working on behalf of Newmarket Scientific handling personal data will be appropriately supervised;
- 24.5 All employees, agents, contractors, or other parties working on behalf of Newmarket Scientific handling personal data shall be required and encouraged to exercise care, caution, and discretion when discussing work-related matters that relate to personal data, whether in the workplace or otherwise;
- 24.6 Methods of collecting, holding, and processing personal data shall be regularly evaluated and reviewed;
- 24.7 All personal data held by Newmarket Scientific shall be reviewed periodically, as set out in Newmarket Scientific's Data Retention Policy;
- 24.8 The performance of those employees, agents, contractors, or other parties working on behalf of Newmarket Scientific handling personal data shall be regularly evaluated and reviewed;
- 24.9 All employees, agents, contractors, or other parties working on behalf of Newmarket Scientific handling personal data will be bound to do so in accordance with the principles of the GDPR and this Policy by contract;
- 24.10 All agents, contractors, or other parties working on behalf of Newmarket Scientific handling personal data must ensure that any and all of their employees who are involved in the processing of personal data are held to the same conditions as those relevant employees of Newmarket Scientific arising out of this Policy and the GDPR; and
- 24.11 Where any agent, contractor or other party working on behalf of Newmarket Scientific handling personal data fails in their obligations under this Policy that party shall indemnify and hold harmless Newmarket Scientific against any costs, liability, damages, loss, claims or proceedings which may arise out of that failure.

## 25. **TRANSFERRING PERSONAL DATA TO A COUNTRY OUTSIDE THE EEA**

- 25.1 Newmarket Scientific may from time to time transfer ('transfer' includes making available remotely) personal data to countries outside of the EEA.
- 25.2 The transfer of personal data to a country outside of the EEA shall take place only if one or more of the following applies:
- 25.2.1 The transfer is to a country, territory, or one or more specific sectors in that country (or an international organisation), that the European Commission has determined ensures an adequate level of protection for personal data;
- 25.2.2 The transfer is to a country (or international organisation) which provides appropriate safeguards in the form of a legally binding agreement between public authorities or bodies; binding corporate rules; standard data protection clauses adopted by the European Commission; compliance with an approved code of conduct approved by a supervisory authority (e.g. the Information Commissioner's Office); certification under an approved certification mechanism (as provided for in the GDPR); contractual clauses agreed and authorised by the competent supervisory authority; or provisions inserted into administrative arrangements between public authorities or bodies authorised by the competent supervisory authority;
- 25.2.3 The transfer is made with the informed consent of the relevant data subject(s);
- 25.2.4 The transfer is necessary for the performance of a contract between the data subject and Newmarket Scientific (or for pre-contractual steps taken at the request of the data subject);
- 25.2.5 The transfer is necessary for important public interest reasons;
- 25.2.6 The transfer is necessary for the conduct of legal claims;
- 25.2.7 The transfer is necessary to protect the vital interests of the data subject or other individuals where the data subject is physically or legally unable to give their consent; or
- 25.2.8 The transfer is made from a register that, under UK or EU law, is intended to provide information to the public and which is open for access by the public in general or otherwise to those who are able to show a legitimate interest in accessing the register.

## 26. **DATA BREACH NOTIFICATION**

- 26.1 All personal data breaches must be reported immediately to Newmarket Scientific's Data Protection Officer.
- 26.2 If a personal data breach occurs and that breach is likely to result in a risk to the rights and freedoms of data subjects (e.g. financial loss, breach of confidentiality, discrimination, reputational damage, or other significant social or economic damage), the Data Protection Officer must ensure that the Information Commissioner's Office is informed of the breach without delay, and in any event, within 72 hours after having become aware of it.
- 26.3 In the event that a personal data breach is likely to result in a high risk (that is, a higher risk than that described under Part 29.2) to the rights and freedoms of data subjects, the Data Protection Officer must ensure that all affected data subjects are informed of the breach directly and without undue delay.
- 26.4 Data breach notifications shall include the following information:
- 26.4.1 The categories and approximate number of data subjects concerned;
- 26.4.2 The categories and approximate number of personal data records concerned;

26.4.3 The name and contact details of Newmarket Scientific's data protection officer (or other contact point where more information can be obtained);

26.4.4 The likely consequences of the breach;

26.4.5 Details of the measures taken, or proposed to be taken, by Newmarket Scientific to address the breach including, where appropriate, measures to mitigate its possible adverse effects.

## 27. IMPLEMENTATION OF POLICY

This Policy shall be deemed effective as of 1<sup>st</sup> of May 2018. No part of this Policy shall have retroactive effect and shall thus apply only to matters occurring on or after this date.

This Policy has been approved and authorised by:

<b>Name:</b>	Rick Bhatt
<b>Position:</b>	Data Protection Officer
<b>Date:</b>	1 <sup>st</sup> of October 2020
<b>Due for next review:</b>	1 <sup>st</sup> of October 2021
<b>Signature:</b>	