

## **Data protection information for shareholders and shareholders' representatives at the Annual General Meeting of ProCredit Holding AG & Co. KGaA**

New data protection laws have been in force since the introduction of the EU General Data Protection Regulation on 25 May 2018. One of the key concerns of this legislation is the transparency of data processing. We take matters of data protection for our shareholders very seriously.

The following information is intended to give you an overview of how we process your personal data and of your rights under data protection legislation.

### **1. Who is responsible for processing data and who can I contact about this matter?**

ProCredit Holding AG & Co. KGaA, Rohmerplatz 33-37, 60486 Frankfurt am Main, Germany (hereinafter also "us", "our", "ourselves" and "we") is responsible for data processing.

You can contact our data protection officer at the above address or by e-mail at [pch.datenschutz@procredit-group.com](mailto:pch.datenschutz@procredit-group.com). If you have any questions about data protection with regard to the share register, please contact us at the above address or by e-mail at [PCH.ir@procredit-group.com](mailto:PCH.ir@procredit-group.com).

### **2. What data can be processed for what purpose and on what legal basis?**

We process your personal data in compliance with the EU General Data Protection Regulation (GDPR), the German Data Protection Act (BDSG), the German Stock Corporation Act (AktG), the Act Concerning Measures Under the Law of Companies, Cooperative Societies, Associations, Foundations and Commonhold Property to Combat the Effects of the COVID-19 Pandemic (GesRuaCOVBekG: "COVID-19 Act") as well as any other relevant legal provisions.

Shares of ProCredit Holding AG & Co. KGaA are registered shares. In the case of registered shares, section 67 of the German Stock Corporation Act stipulates that they must be entered in the Company's share register; the entry must include the shareholder's name, date of birth, postal address and an electronic address, as well as the quantity of shares held or the share numbers, and in the case of shares with a nominal value, the amount. Regulations oblige the credit institutions involved in the acquisition or safekeeping of your ProCredit registered shares to forward to us any details relevant for maintaining the share register as well as information on your nationality.

We use your personal data solely for purposes stipulated in the German Stock Corporation Act. Specifically, this includes maintaining the share register, communicating with you as a shareholder, and conducting General Meetings. Moreover, we will only use your data for purposes that are compatible with the above-mentioned (in particular for the compilation of statistics, such as for the presentation of shareholder developments, the number of share transactions or overviews of the largest shareholders). The legal basis for the processing of your personal data is the German Stock Corporation Act (AktG) in conjunction with article 6 (1)(c) and (4) GDPR.

In addition, we may also process your personal data to fulfil other legal obligations, such as supervisory regulations or requirements under securities law, as well as data retention obligations under company, commerce and tax law. In order to comply with the provisions of the German Stock Corporation Act, for example when authorising the voting representatives nominated by the Company for the General Meeting, we must record the data that serves as

proof of said authorisation for verification purposes and retain it for three years in an access-protected manner (section 134 (3) sentence 5 AktG). The legal basis for processing in such cases is provided by the relevant legislation in conjunction with article 6 (1)(c) GDPR.

In addition to processing on the basis of legislation, we also process personal data to protect our legitimate interests in accordance with article 6 (1)(f) GDPR.

We have a legitimate interest in ensuring that the General Meeting runs smoothly. If, pursuant to section 1 (2) of the COVID-19 Act and as per the requirements set out in the notice convening the virtual General Meeting, you submit questions via the InvestorPortal prior to the General Meeting or object to resolutions of the General Meeting at the General Meeting, we will accordingly process your name, date of birth, postal address and e-mail address as shareholder as well as your shareholder number, in order to process said questions and/or objections. If you authorise a third party to attend the General Meeting on your behalf, we will also process this person's name and address in order to create the authorised representative ticket.

There is also a legitimate interest with regard to compliance with non-European securities regulations, such as in the case of capital increases, where on the grounds of their nationality or place of residence we may have to exclude certain shareholders from being informed about subscription offers in order to comply with the respective legislation.

Should we wish to process your personal data for a purpose not mentioned above, we will inform you of this in advance in accordance with the statutory provisions.

### **3. Who can obtain my data?**

At ProCredit Holding AG & Co. KGaA, the only persons given access to your data are those who need it in order to fulfil our obligations towards you. Service providers and agents engaged by us can also be provided with data for these purposes. If such service providers or agents come into contact with the personal data of our shareholders, this is done solely within their function as "Processor", which is expressly provided for by law (article 28 GDPR). ProCredit Holding AG & Co. KGaA still remains responsible for the protection of your data in this case. We carefully select our service providers and they work exclusively in accordance with our instructions, which we ensure through contractual regulations, technical and organisational measures, as well as supplementary control checks. Our service providers are companies that fall under the following categories: Service providers for the maintenance of the share register, IT service providers, and service providers for the preparation and execution of the General Meeting.

We also transfer your data to other recipients who are authorised to process your data on their own responsibility. These include public authorities, for example when complying with reporting obligations (such as when statutory voting rights thresholds are exceeded).

### **4. Will my data be transmitted to a third country?**

We do not intend to transfer your personal data to a third country outside the European Economic Area (EEA) or to any international organisation. Nor do we pass on personal data to service providers outside the EEA.

## 5. How long will my data be stored?

As a rule, we anonymise your personal data or delete it as soon as it is no longer required for the above-mentioned purposes unless we are legally required to store it for longer periods of time due to legal obligations to provide proof and to retain data (e.g. in accordance with the German Stock Corporation Act (AktG), the German Commercial Code (HGB), the German Fiscal Code (AO)). Regulations require that data recorded in connection with general meetings must be stored for up to ten years. We are obliged to retain the data recorded in the share register for a further ten years after the sale of the respective shares. Beyond this, we only store personal data in individual cases if this is necessary in connection with claims made for or against our Company.

## 6. Am I required to provide data?

As a shareholder, you are obliged to provide the Company with the above-mentioned personal details. The credit institutions involved in the transfer or safekeeping of registered shares are also obliged to provide ProCredit Holding AG & Co. KGaA with the information required for the maintenance the share register (section 67 (1) and (4) AktG).

## 7. What are my rights as a data subject?

You can request information concerning the personal data stored about you. You can use the InvestorPortal to view all of the significant personal data recorded about you in the share register during the period from the convocation of the General Meeting until the termination thereof. You have the right to correct any data about you that is incorrect. Please contact your custodian bank in order to do this. In addition, under certain conditions, you can request the deletion of your personal data or a limitation of the processing (e.g. if your data were to be processed unlawfully). **If we process your data to protect our legitimate interests, you have the right to object to this processing should there be any reasons relating to your particular situation that conflict with such data processing.** We will then no longer process your personal data unless we can demonstrate overriding compelling legitimate grounds on our part. Other rights include the right to portability of your data and the right to revoke at any time any consent you may have given, without affecting the legitimacy of the processing prior to revocation.

Should you wish to exercise your rights, you can contact our data protection officer at the above address. You also have the right to complain to a public data protection authority. The data protection authority responsible for ProCredit Holding AG & Co. KGaA is:

The Hessian Commissioner for Data Protection and Freedom of Information, Postfach 3163, 65021 Wiesbaden

## **8. Additional information on the processing of your personal data when using the InvestorPortal**

### **1. Information regarding the collection and processing of your personal data**

We collect and process the personal data described below.

#### **a) Access data**

When you visit the InvestorPortal of ProCredit Holding AG & Co. KGaA, we collect data on access to our InvestorPortal. The following data will be logged in the web server log files or in the application database:

- Retrieved or requested data
- Date and time of the retrieval
- Report whether the retrieval was successful
- Type of web browser used
- Referrer URL (the previously visited web page)
- IP address
- Shareholder number and SessionID
- Login and password reset
- GDPR acceptance

Your browser will automatically transfer these data items to us when you visit our InvestorPortal.

The website uses HTML5 web storage technology to make web pages dynamic and add various functionalities. In order to use all functions of our website, JavaScript must be activated in your browser. By means of the HTML5 web storage technology we use, small text files will be placed on your device and saved there.

We use this technology to store authentication information as well as some contextual information using the session storage function, which allows us to recognise the user when you return to our website during an active session:

- Authentication token – the virtual “admission ticket”
- Acceptance of the disclaimer
- Differentiation by shareholder

In your web browser’s Help menu you will find information on how to technically prevent web storage objects from being allowed and which setting your browser uses to inform you about the placement of a new web storage object. Please note that some functions of our website may no longer be available if web storage objects are deactivated.

#### **b) Register import for registered shares**

The shareholder data listed below will be stored in the InvestorPortal of ProCredit Holding AG & Co. KGaA for your inspection. For this purpose, we continuously compare your shareholder data with the share register to keep everything up to date and to verify that you still hold shares in ProCredit Holding AG & Co. KGaA.

If you are a holder of registered shares, we will process the following data:

- Shareholder number
- First and last name
- Date of birth
- Address (house number, street, town, postal code and country)
- No. of shares
- E-mail address (if applicable)

After each General Meeting has ended, you will have the option to delete your account for the InvestorPortal of ProCredit Holding AG & Co. KGaA and to discontinue your use of it by sending us an e-mail to [aktionaersportal@computershare.de](mailto:aktionaersportal@computershare.de).

### **c) Login to the InvestorPortal of ProCredit Holding AG & Co. KGaA**

If you log into the InvestorPortal of ProCredit Holding AG & Co. KGaA, we will process your shareholder number and the password. Before using the InvestorPortal for the first time, you will receive an initial password, which you can then change in the settings.

If you use the “Forgot password” function, we will collect the following data to retrieve the forgotten password:

- Shareholder number, e-mail address
- First and last name
- Town
- No. of shares

**d)** By means of our InvestorPortal, you are able to use the following services:

- Voting/changing your vote at the General Meeting by absentee voting
- Granting of power of attorney to the voting representatives of the Company
- Authorisation of a third party
- Accessing the live broadcast for shareholders and authorised representatives
- Inspecting your data as stored in the share register
- Submitting questions and objections for the minutes in writing (text). These texts will be stored.
- Shareholders (but not authorised representatives) can store their e-mail address in the portal in order to be able to use the “Forgot password” function on the login page if necessary. In this case, the e-mail address is also saved (this can differ from the one entered in the share register).
- Hotline (telephone and e-mail hotline): Date, time, telephone number, e-mail address and e-mail of the person contacting the hotline.

### **e) Creating an access ticket for a third party or authorising a third party**

If a third party has been authorised, we collect the following data about the third party in order to create an access ticket in the name of the authorised representative:

- First and last name
- Town
- E-mail address (if applicable)

## **2. Purposes and legal basis of the processing**

We process your personal data pursuant to item 1.a) in order to display our website to you and to ensure its stability and security.

We process the personal data pursuant to items 1.b) – e) in order to provide you with a simple means of registering for our General Meeting and to make available to you other useful online services related to the conduct of the General Meeting.

The legal basis for these processing operations is in each case our legitimate interest pursuant to article 6 (1)(f) GDPR.

## **3. Categories of recipients of personal data**

The service providers commissioned by the Company for the purpose of facilitating the InvestorPortal of ProCredit Holding AG & Co. KGaA (e.g. hosting providers) will receive from the Company your personal data, which they will process exclusively on behalf of and as instructed by ProCredit Holding AG & Co. KGaA. All our employees and the employees of external service providers who process personal data are obliged to treat your data confidentially.

## **4. Storage period**

As a rule, we anonymise or delete your personal data as soon as it is no longer required for the above-mentioned purposes.

The access data collected by us (item 1.a) will only be stored by us for a period of three months and then processed exclusively in anonymised form for statistical purposes.

We will delete all other data collected in connection with the operation and use of the InvestorPortal no later than one month after your InvestorPortal account has been deleted. On the one hand, you can delete the account yourself, as described under item 1.b). On the other hand, your account will be deleted automatically if you are no longer a shareholder of ProCredit Holding AG & Co. KGaA.

Further storage will only take place if this is required by law or if we have a legitimate interest in further storage, for example in the event of judicial or extrajudicial disputes in connection with the operation of the InvestorPortal. The personal data will be subsequently deleted, however.

## **5. Rights of data subjects**

As a data subject and user of the InvestorPortal of ProCredit Holding AG & Co. KGaA, you can contact our above-mentioned data protection officer to exercise your legal rights under the GDPR. If the legal requirements are met, you may be entitled to the following rights:

- the right to receive information on data processing and a copy of the processed data (right of access, article 15 GDPR)
- the right to demand the correction of incorrect data or the completion of incomplete data (right to rectification, article 16 GDPR)
- the right to demand the immediate erasure of personal data (right to erasure, article 17 GDPR)

- the right to demand the restriction of data processing (right to restriction of processing, article 18 GDPR)
- the right to receive the personal data concerning you that you have provided to a responsible person in a structured, common and machine-readable format, and also to transmit such data to another responsible person without hindrance by the responsible person (right to data portability, article 20 GDPR)

**You also have the right to object to the processing of personal data concerning you at any time for reasons arising from your particular situation (right to object, article 21 GDPR). The data processing will then be terminated, unless we can demonstrate compelling legitimate grounds for the processing which override the interests, rights and freedoms of the data subject or if the processing serves to assert, exercise or defend legal claims.**

You are not obliged to use our InvestorPortal and to provide us with personal data in this respect. However, if you wish to use the functionalities of the InvestorPortal (with regard to the General Meeting), you must provide us with the data required for this purpose. Without this data, ProCredit Holding AG & Co. KGaA cannot provide these functionalities in a secure manner. We only collect the data that is actually required for the respective purpose.

This notwithstanding, each user of the InvestorPortal of ProCredit Holding AG & Co. KGaA has the right of complaint to a competent data protection supervisory authority pursuant to article 77 GDPR.

Further information on data protection at ProCredit can also be found on our website at <https://procredit-holding.com/data-protection/>