

Individual Rights Request Form

Please return this form:

- via **post** to your nearest ClearBridge office and mark "FAO Legal Department" or
- via **email** to compliancehelpdesk@clearbridge.com

ClearBridge will address your request within the legal timeframes, on receipt of this completed form.

1. Requestor details

Mr. Mrs. Ms. Other Title _____

*First Name(s)	*Last Name(s)
*Address	
*City/Town	*Post Code
*Country	Date of Birth (DD/MM/YY)
*Contact Number	*Email

2. Relationship (Only applicable to individuals)

Please select the type of relationship you have with ClearBridge. Multiple selections are possible. ClearBridge may need to request additional information to verify your identity.

- Existing Client Client Reference Number _____
- Existing Client Client Reference Number _____
- Existing Distributor/Broker/Independent Financial Advisor Broker Number _____
- Former Distributor/Broker/Independent Financial Advisor Broker Number _____
- Employee / Ex-Employee
- Other

3. Request (multiple selections are possible)

Please check the relevant box to indicate the purpose of your request and provide further details in the fields below.

- | | |
|--|---|
| <input type="checkbox"/> Right to access | <input type="checkbox"/> Right to object to processing |
| <input type="checkbox"/> Right to rectification | <input type="checkbox"/> Right to restriction of processing |
| <input type="checkbox"/> Right to deletion ("to be forgotten") | <input type="checkbox"/> Right to data portability |

Please provide further details below to allow ClearBridge to complete your request.

4. Signature

Name of the Requestor	Signature of the Requestor
Date (DD/MM/YY)	

5. Guidance Notes

Introduction

Please read the notes carefully, as they provide guidance on how to complete the various sections and will allow ClearBridge respond to your Individual Rights Request appropriately.

Section 1 – Requestor Details

This section provides ClearBridge with the information required to identify you. Please complete this as thoroughly as possible. The fields with an asterisk are mandatory.

Please provide a contact number and, where possible, an email address as ClearBridge may need to contact you for further information or clarification relating to the request.

Section 2 – Relationship

This is the type of relationship you, the requestor, has (or has held in the past) with ClearBridge This information helps ClearBridge route the request to the area of the business most suited to dealing with your request, to locate your records.

Type of Relationship – the choices reflect why you expect ClearBridge to hold your personal data. Please select all the options that best reflect your interaction with ClearBridge. For instance you may be an ex-employee (if you had previously worked at ClearBridge) or former client (invested in a ClearBridge fund) or both.

If none of the tick boxes reflect your interactions with ClearBridge, select 'Other' and use the box alongside to enter your own description of why ClearBridge would hold your personal data.

If you are a client or a former client, please provide a 'Client Reference Number'. These fields are not mandatory but are unique references used by ClearBridge to identify you and will therefore enable ClearBridge to respond to your request more expediently.

The 'Broker Number' field should be completed if you are a broker/dealer.

Section 3 – Request

This section is designed to capture the detail of which of your individual rights you would like to invoke using this Individual Rights Request form. You may select to exercise multiple rights with this form.

The individual rights are summarised below:

- **Right to access** – You can request the right of access to your personal information. ClearBridge will provide a template detailing what personal information we hold on you. You also have the right to have copies of your personal information.
- **Right to rectification** – You can request that ClearBridge amend or update your personal information. There may be existing processes to request changes such as address and name changes that are more appropriate than the Individual Rights Request process. Please include the detail of which personal information elements you wish to update.
- **Right to be forgotten** – You can request that ClearBridge deletes or anonymizes your personal information. ClearBridge can only delete/anonymize your personal information if it falls within the bounds of applicable regulations.
***ClearBridge will not action this right for anyone who is in an ongoing active client relationship with the company or for a requestor who has previously granted consent for marketing activities and not revoked that consent.**
- **Right to object to processing** – You can request that processing activities are stopped which relate to your personal information. Please include the detail of which processing activity(s) you are objecting to.
- **Right to restriction of processing** – You can request a temporary restriction of processing activities. Please include detail of the processing activity(s) you wish to restrict and why.
- **Right to Data Portability** – You can request that ClearBridge electronically transfers your personal information (which you provided to ClearBridge) to another company. ClearBridge will provide your personal information in a .csv format via secured email or secured postal delivery.