



## EU-U.S. and Swiss-U.S. Privacy Shield Policy

This Privacy Shield Policy (the “**Policy**”) details how EisnerAmper (as defined below) in the United States (“**U.S.**”) collects, uses, and discloses personal data that we receive in the U.S. from the European Union (“**EU**”) and Switzerland. This Notice supplements our Privacy Policy located at: [https://www.eisneramper.com/privacy\\_policy/](https://www.eisneramper.com/privacy_policy/) and is incorporated therein by this reference.

For the purposes of this Policy, the following definitions shall apply:

“**EisnerAmper**” means EisnerAmper LLP, and EisnerAmper Global Compliance & Regulatory Solutions LLC.

“**data subject**” means an identified or identifiable natural person

“**identifiable natural person**” means a data subject 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.

“**Personal data**” means any information relating to a data subject.

“**Processing**” of personal data means any operation or set of operations which is performed upon personal data, whether or not by automated means, such as collection, recording, organization, storage, adaptation or alteration, retrieval, consultation, use, disclosure or dissemination, and erasure or destruction.

“**Privacy Shield Principles**” means those principles set forth at <https://www.privacyshield.gov/article?id=Requirements-of-Participation>.

### **Participation in Privacy Shield**

EisnerAmper recognizes that the EU and Switzerland has established protections regarding the handling of personal data, including requirements to provide adequate protection for personal data transferred outside of the EU and Switzerland. To provide sufficient privacy controls for personal data pertaining to EisnerAmper clients, vendors, and business partners in the EU and Switzerland which is received by the firm in the US, EisnerAmper has elected to self-certify to the EU-U.S. and Swiss-U.S. Privacy Shield Frameworks administered by the U.S. Department of Commerce (“**Privacy Shield**”).

To learn more about the Privacy Shield Framework, and to view EisnerAmper’s certification, please visit <https://www.privacyshield.gov>.

### **Types of Personal Data Collected/Processed and Purposes**

EisnerAmper collects and processes the types of personal data as set forth below:

- Personal data regarding current, former and prospective partners, principals and employees for the purposes of operating and managing EisnerAmper, performing internal human resource administration, and maintaining contact with individuals.
- Personal data regarding current, former and prospective clients, their clients, and their respective personnel and other parties, for the purposes of delivering EisnerAmper services, maintaining ongoing relationships and performing business development activities.
- Personal data regarding our third party service providers and their personnel for the purposes of obtaining services and managing and administering EisnerAmper business relationships with such third parties.
- Additionally, EisnerAmper may, from time to time, collect personal information from the general public in order to answer inquiries or provide information requested, including through the use of our Website, [www.EisnerAmper.com](http://www.EisnerAmper.com), in which case, such collection is also subject to the terms of our Privacy Policy.

### **EisnerAmper Personal Data Collection and Processors/SubProcessors**

EisnerAmper utilizes processors/sub-processors as part of its business. The list of such processors and sub-processors is available upon reasonable request. If you are our customer and you should have any concern with any processors we use, please let us know, and we will work with you to try to resolve your concerns (which may include removing your data from a particular processor's or sub-processor's possession or access).

### **Commitment to be Subject to Privacy Shield Principles**

EisnerAmper has committed to adhere to the Privacy Shield Principles, including using the personal data collected only for the purposes it was collected. EisnerAmper may occasionally also send certain individuals communications it deems of value to such persons, but which the individual can opt out of.

### **Notice and Choice**

Notice to individuals regarding the personal data collected from them and how that information is used may be provided through this Policy, other website notices, or other direct forms of communication with appropriate parties, such as contracts or agreements.

### **Accountability for Onward Transfer**

Except as instructed by the controller of personal data or the individual data subject, EisnerAmper will not transfer any personal data of EU and Swiss persons to a third party without first ensuring that the third party adheres to the Privacy Shield Principles, unless such entity adheres to security controls and procedures which EisnerAmper considers to be adequate.

### **Security**

EisnerAmper maintains security protocols consistent with guidelines set by the International Organization for Standardization System and Organization Controls (ISO SOC) to protect personal data from loss, unauthorized access, disclosure, alteration and destruction.

## **Access and Correction**

Upon request, EisnerAmper will grant individuals who are its customers reasonable access to the personal data the firm retains about them. EisnerAmper will also take reasonable steps to permit individuals to correct, amend, or delete information that is demonstrated to be inaccurate or has been processed in violation of the firm's contracted services.

## **Verification**

EisnerAmper assures compliance with this Policy by utilizing the self-assessment approach as specified by the U.S. Department of Commerce. The assessment will be conducted on an annual basis to ensure that EisnerAmper's security and privacy practices as set forth herein are being followed in adherence with this Policy. EisnerAmper personnel found to be in violation of this Policy may be subject to disciplinary measures, up to and including termination of employment.

## **Recourse, Enforcement and Liability**

Any complaints or concerns regarding the use or disclosure of personal data transferred from the EU or Switzerland to the firm in the U.S. should, in the first instance, be directed to the EisnerAmper Information Security and Privacy Director, or the VeraSafe Alternative Dispute Resolution provider. Their contact information is set forth at the end of this Policy.

You may have the option to select binding arbitration under the Privacy Shield Panel (as described in <https://www.privacyshield.gov/article?id=B-Available-Remedies>) for the resolution of your complaint under certain circumstances. For further information, please see the Privacy Shield website.

## **Limitation on Scope of Principles**

Adherence by EisnerAmper to the Privacy Shield Principles may be limited (a) to the extent the firm is required to respond to a legal obligation; and (b) to the extent permitted by an applicable law or regulation.

## **Changes to this Policy**

This Policy may be amended from time to time, consistent with the requirements of applicable laws and regulations. Revisions will be in effect upon the date of publication.

## **Contact Information**

Questions or comments related to this Policy, data processing or data collection should be submitted to the VeraSafe Alternative Resolution Service support line or the EisnerAmper Information Security and Privacy Director:

VeraSafe Alternative Resolution Service Hotline

1-888-376-1079, [support@VeraSafe.com](mailto:support@VeraSafe.com), [www.VeraSafe.com](http://www.VeraSafe.com)

Todd Gordon, EisnerAmper Director of Information Security and Privacy

212-891-8020, [todd.gordon@eisneramper.com](mailto:todd.gordon@eisneramper.com)