

APPENDIX 1

<u>Categories of Personal Information</u>	<u>Basis for Processing</u>
<u>Records of criminal behaviour</u>	<p><u>For:</u></p> <ul style="list-style-type: none"> • <u>KYC checks for the establishment, exercise or defence of a right or obligation in law;</u> • <u>handling of insured's claims ;</u> • <u>recruitment and human resources;</u>
<u>Medical and/ or health records</u>	<p><u>For:</u></p> <ul style="list-style-type: none"> • <u>assessing the risk to be insured by Chubb or covered by the medical scheme;</u> • <u>the performance of an insurance or medical scheme agreement;</u> • <u>the enforcement of any contractual rights and obligations;</u> • <u>assessing of claims;</u>
<u>Records relating to race and ethnic origin</u>	<p><u>To identify data subjects to comply with laws and other measures designed to protect or advance persons ie to comply with Chubb's employment equity, diversity and inclusion and transformation obligations.</u></p>
<p><u>Records in respect of both natural and juristic persons in the form of:</u></p> <ul style="list-style-type: none"> • <u>a claimants' name,</u> • <u>identification number,</u> • <u>date of birth,</u> • <u>contact details,</u> • <u>address,</u> • <u>gender,</u> • <u>banking details,</u> • <u>medical reports and medical information,</u> • <u>medical history,</u> • <u>invoices in respect of treatment,</u> • <u>information related to salary;</u> • <u>information relating to children;</u> • <u>Biometric information evidencing access to premises,</u> • <u>video footage and/ or photographic evidence of entry / exit of premises,</u> • <u>voice recordings,</u> • <u>race and/ or ethnic origin insofar as such can be evidenced from video surveillance,</u> • <u>photographs on documents such as driver's licenses and/ or identity documents, and inadvertently in limited circumstances Records evidencing religious/ philosophical beliefs;</u> • <u>records related to trade union membership,</u> • <u>records relating to criminal behaviour, including polygraph test results; and</u> 	<p><u>For:</u></p> <ul style="list-style-type: none"> • <u>the handling of claims by the insured including medical malpractice claims,</u> • <u>the purpose of administration and payment of claims;</u> • <u>for the purposes of remunerating employees and providing benefits to employees;</u> • <u>for compliance with laws, including employment equity laws and Financial Services related legislation (i.e. FAIS, Insurance Act etc).</u> • <u>assessment and underwriting of policies;</u>

<p><u>In respect of juristic persons:</u></p> <ul style="list-style-type: none"> • <u>records of the name of the contact at the juristic person.</u> • <u>contact details.</u> • <u>registration number.</u> • <u>incorporation date.</u> • <u>physical and email addresses.</u> • <u>records to support profit and loss claims.</u> • <u>safety and training certificates.</u> • <u>control documents to evidence routines, and</u> • <u>financial accounts records related to claims.</u> 	
<p><u>Company-related information of the corporate customer including:</u></p> <ul style="list-style-type: none"> • <u>registration number.</u> • <u>financial and payment details.</u> • <u>contact details.</u> • <u>commercial and market sensitive information of Chubb.</u> <p><u>Records in respect of natural persons including:</u></p> <ul style="list-style-type: none"> • <u>names.</u> • <u>job titles.</u> • <u>medical reports.</u> • <u>location data.</u> • <u>photographs.</u> • <u>employee records, and</u> • <u>objectionable conduct of individuals in respect of employees and directors.</u> 	<p><u>For underwriting of insurance products</u></p> <p><u>For assessment of claims</u></p>
<ul style="list-style-type: none"> • <u>names.</u> • <u>salaries.</u> • <u>job titles for insured persons.</u> • <u>wage-rolls.</u> • <u>travel patterns.</u> • <u>claims history.</u> • <u>identity or passport numbers of insured persons, and</u> <p><u>Company-related information of the corporate customer including:</u></p> <ul style="list-style-type: none"> • <u>registration number.</u> • <u>financial and payment details; and</u> • <u>contact details.</u> 	<p><u>For offerings related to group travel and group personal accident policies</u></p>
<p><u>In respect of insured persons, records include:</u></p> <ul style="list-style-type: none"> • <u>name.</u> • <u>identity or passport numbers.</u> • <u>financial and payment details.</u> • <u>contact details.</u> • <u>travel patterns, and</u> • <u>claims history.</u> 	<p><u>For offerings related to group travel and group personal accident policies at a consumer level</u></p>

<u>Records include the school's census with names and dates of birth of students</u>	<u>For offering of group policies for schools</u>
<u>Records include:</u> <ul style="list-style-type: none"> • <u>company registration number,</u> • <u>financial and payment details, and</u> • <u>contact details.</u> 	<u>For offerings related to property and casualty insurance policies and coverages</u>
<u>Records include medical related information.</u>	<u>For offerings related to accident and health and/or property and casualty policies and coverages</u>
<u>Records include:</u> <ul style="list-style-type: none"> • <u>Biometric information for the Medical malpractice products;</u> • <u>Racial and ethnic origin of the insured persons; and</u> <u>Records in respect of corporate customers include:</u> <ul style="list-style-type: none"> • <u>board compositions;</u> • <u>certain medical and health related information of insured persons under group policies; and</u> • <u>limited information relating to criminal / sanctions checks.</u> 	<u>For purposes of underwriting of policies across various lines of business within Chubb</u>
<u>Records include children's information including names, gender and dates of birth</u>	<u>For concluding contract with customers related to accident and health, leisure, miscellaneous and travel insurance policies/coverages</u>
<u>Human resource Records include:</u> <ul style="list-style-type: none"> • <u>employees' names,</u> • <u>identification or passport numbers,</u> • <u>dates of birth,</u> • <u>contact details,</u> • <u>salary details,</u> • <u>addresses,</u> • <u>CV's, educational and/ or professional qualifications,</u> • <u>gender,</u> • <u>race and ethnic origin,</u> • <u>employee records,</u> • <u>performance management documents,</u> • <u>disciplinary records,</u> • <u>banking details,</u> • <u>findings of background checks, criminal record checks and credit checks in respect of employees,</u> • <u>employees' race and ethnic origin; and</u> • <u>health information.</u> 	<u>For:</u> <ul style="list-style-type: none"> • <u>on-boarding of new employees;</u> • <u>managing employee information,</u> • <u>managing the recruitment process including conducting background checks,</u> • <u>managing employee compliance with company rules and policies;</u> • <u>managing performance, talent management and disciplinary processes in relation to employees;</u> • <u>complying with employment equity, diversity and inclusion and transformation obligations;</u> • <u>administering employee medical aid and other benefits and payroll systems,</u> • <u>managing employee health and wellbeing;</u> • <u>conducting video surveillance and monitoring emails and other Company resources for security purposes;</u> • <u>use as part of access control to the business premises; and</u> • <u>Reporting in terms of the Occupational Health & Safety Act;</u> • <u>Reporting to INSETA;</u> • <u>Reporting to the Department of Employment and Labour;</u> • <u>the management of occupational injuries</u>

	<p><u>or diseases claims in terms of the Compensation for Occupational Injuries and Diseases Act, 1993;</u></p> <ul style="list-style-type: none"> • <u>Obtaining opinions and/or assessments from consultants, legal advisors and other third-party vendors</u>
<p><u>In respect of third party payroll providers and medical aid and benefits supplier's, records include:</u></p> <ul style="list-style-type: none"> • <u>name of contact at service provider,</u> • <u>contact details,</u> • <u>registration numbers,</u> • <u>incorporation dates, and</u> • <u>physical and email addresses.</u> 	<p><u>For the purpose of concluding and executing contracts with third party service providers.</u></p>
<p><u>Records in respect of individual representatives of brokers, and directors.</u></p>	<p><u>For KYC, Due Diligence, sanctions and anti-money laundering purposes.</u></p>
<p><u>Records related to juristic persons (such as third party service providers) including:</u></p> <ul style="list-style-type: none"> • <u>name of contact at the third party payroll providers and medical aid and benefits suppliers,</u> • <u>contact details,</u> • <u>registration number,</u> • <u>incorporation date,</u> • <u>physical and email addresses, and</u> • <u>banking details including VAT numbers.</u> 	<p><u>For:</u></p> <ul style="list-style-type: none"> • <u>payroll services,</u> • <u>credit control and the payment by clients of insurance premiums,</u> • <u>the purpose of provident fund contributions and medical aid contributions,</u> • <u>funeral cover on behalf of employees,</u> • <u>income tax purposes;</u> • <u>payroll purposes,</u> • <u>conducting due diligences when on-boarding a new brokerage firm or a new agency,</u> • <u>managing procurement,</u> • <u>negotiating and concluding outsourcing agreements,</u> • <u>regulatory compliance including complying with laws related to Financial Services,</u> • <u>concluding binder agreements,</u> • <u>complying with employment equity, diversity and inclusion and transformation obligations,</u> • <u>investigating and handling regulatory complaints,</u> • <u>dealing with insurance claims that are escalated,</u> • <u>managing employment equity;</u> • <u>regulatory reporting in terms of INSETA, and</u> • <u>paying service providers for services rendered,</u>
<p><u>Records in respect of vendors including:</u></p> <ul style="list-style-type: none"> • <u>financial statements, and</u> • <u>electronic signatures;</u> 	<p><u>For:</u></p> <ul style="list-style-type: none"> • <u>managing employment equity;</u> • <u>regulatory reporting in terms of INSETA,</u> • <u>administering employee benefits and</u>

<p><u>In respect of children including:</u></p> <ul style="list-style-type: none"> • <u>names,</u> • <u>date of birth, and</u> • <u>identity numbers.</u> <p><u>In respect of service providers including:</u></p> <ul style="list-style-type: none"> • <u>name of contact at juristic person,</u> • <u>contact details,</u> • <u>registration number,</u> • <u>incorporation date, and</u> • <u>physical and email addresses.</u> 	<ul style="list-style-type: none"> • <u>payroll systems,</u> • <u>managing procurement and the approval and on-boarding of new vendors,</u> • <u>administering payroll functions,</u> • <u>paying service providers for services rendered,</u> • <u>managing credit control and the payment by clients of insurance premiums,</u> • <u>the payment of income tax, and</u> • <u>for the purpose of medical aid and provident fund benefits</u>
<p><u>Details of the broker and the individual representative broker name and contact details of the broker and intermediaries</u></p>	<p>To:</p> <ul style="list-style-type: none"> • <u>Due Diligence and Third-Party Audit reviews;</u> • <u>set up a prospective record;</u> • <u>consider a proposal; assess risk and write a policy;</u> • <u>carry out background checks (i.e. KYC / AML / sanctions);</u> • <u>administer the policies on an on-going basis;</u> • <u>manage renewals; and</u> • <u>comply with Chubb's legal obligations.</u>

