

California Recruitment Personal Information Privacy Notice

Effective Date: August 27, 2024

The purpose of this privacy notice is to inform you about how your personal information (i.e., information that identifies, relates to, describes, or is reasonably capable of being associated, or could reasonably be linked, directly or indirectly, with you) is processed by the D. E. Shaw Group in accordance with the California Consumer Privacy Act of 2018, as amended by the California Privacy Rights Act of 2020, and its implementing regulations (“CCPA”). If you would like to also learn about our privacy practices applicable to our websites, please review our online privacy statement available [here](#).

The references to “**the D. E. Shaw Group**”, “**we**”, “**us**”, or “**our**” here refer collectively to D. E. Shaw & Co., L.P., D. E. Shaw & Co., L.L.C., and each of (a) their wholly owned subsidiaries, and (b) the funds they directly or indirectly control, advise, or manage. The words “**you**” and “**your**” mean only California residents who apply for employment with us or apply for a role in California.

1. What categories of personal information do we collect about you?

We may collect some or all of the following categories of employment-related personal information directly from you:

- **identifiers** such as your name, address, and contact details, including email address and telephone number;
- **education, professional, or employment-related information** such as your qualifications, skills, experience, employment and educational history, as well as any sample work product such as software code or written work and contact information of your professional references that you provide to us;
- **national identification information** such as your nationality, residency, and work permit;
- **compensation information** such as your current or expected future compensation;
- **sensitive personal information** such as your social security number (SSN), state or government-issued identification card, or passport number, and citizenship or immigration status information;
- **information required for background checks and screening** such as an education verification, credit and driver’s license checks, and criminal convictions and/or offenses to the extent any such is identified during a background check; and;
- any other personal information that you voluntarily provide to us or may be necessary for the satisfaction of the purposes listed in section 2 below.

Sometimes we will collect these types of employment-related personal information about you from third parties. For example, we may:

- Receive certain of the above-described information from a recruiter;
- Obtain professional references from a former employer or other relevant referee that you identify to us; and
- Engage a background check provider to undertake an education, employment, professional qualification, credit, criminal, and/or other background check.

2. What is your personal information used for?

We may use your personal information for the following employment-related or additional purposes:

- Communicate with you regarding your application and our recruitment process;
- Process and assess your application for a role with us;
- Administer, manage, and improve our recruitment operations, including monitoring our compliance with our internal rules and policies;
- Undertake the preparatory steps necessary for us to enter into an employment agreement with you to the extent your application is successful;
- Conduct reference and background checks about you (with your consent as detailed below), including a criminal history check, credit history check, education, qualification and employment history verification, and professional license verification;
- Meet our obligations with respect to recruiting agencies acting on your behalf;
- Fulfil our legal obligations, such as verifying your eligibility to work, complying with legal and regulatory requirements, and taking action(s) as to any actual or prospective legal proceeding, action, investigation, or inquiry in any jurisdiction;
- Apply for licences, registrations or memberships with regulators or self-regulatory organisations;
- Facilitate any merger, acquisition, reorganisation, spin-out, outsourcing or sale of all or part of our business;
- Maintain security or to detect, prevent, or investigate any actual or suspected fraud, illegal activity, or other misconduct, including any activity affecting our information technology system and network;
- Inform you about prospective employment opportunities with us, unless you notify us that you do not wish to hear about any such opportunities by emailing us as described in the “**Contact us**” section; and
- Any other purposes directly or indirectly related to the above.

We do not sell your personal information. We also do not share your personal information with third parties for purposes materially unrelated to the purposes specified in this Section 2, such as targeted marketing of third party products to you.

When we perform background checks, the check may involve the processing of your personal information relating to any criminal convictions and offenses, which we will process only upon your consent or where specifically authorized or required by law. We will notify you if such a background check is necessary in connection with your application for employment and seek your consent prior to processing your personal information relating to any criminal convictions and offenses.

3. To whom do we disclose your personal information?

In connection with the business purposes describe above, we may disclose your personal information to:

- Our affiliates, agents, contractors, service providers such as IT and background check service providers, consultants, and advisors;
- Fraud prevention and law enforcement agencies;
- Individuals that refer you (e.g., an employee or former employee of the D. E. Shaw Group) to us for an employment opportunity (however such disclosure would ordinarily be limited to basic information regarding the status of your application);
- Courts, governmental bodies, non-governmental regulators, ombudsmen, and other bodies recognized in the relevant industry;
- Any third party as required or permitted by law, including in connection with a dispute, litigation, investigation, proceeding or inquiry involving us;
- Any third party in connection with any merger, acquisition, reorganisation, spin-out, outsourcing, or sale of all or part of our business; and
- Anyone to whom you authorise us to make such disclosure.

4. For how long do we keep your personal information?

We will retain your personal information for only as long as is considered necessary for the fulfilment of the purposes described under Section 2 above, unless otherwise required or permitted by law, and in accordance with our internal retention policies. If you would like more information about applicable data retention policies, please email us as described in the “**Contact Us**” section. If you have submitted a resume to us and do not wish to proceed with your application, please email cvwithdraw@deshaw.com.

If your application for employment is successful, your personal information gathered during the recruitment process will be transferred to your personnel file and retained during your

employment. The periods for which your personal information will be held will be provided to you in a new privacy notice.

If your application for employment is unsuccessful, we may also use your personal information to inform you about any future employment opportunities with us. If you do not wish to hear about any such opportunities, please email us as described in the “**Contact us**” section.

5. Your rights

Under the CCPA, you have a right to:

- know the categories of personal information we have collected about you, categories of sources from which such personal information is collected, business or commercial purpose(s) for collecting your personal information, and specific pieces of information we have collected about you;
- correct any inaccuracies in your personal information that we maintain about you; and
- request deletion of your personal information (unless we have a basis for retention as specified in Section 4 above).

We do not use or disclose your sensitive personal information for purposes which would require us to offer you the right to limit our use and disclosure of your sensitive personal information under the CCPA.

You may exercise your rights by yourself or designate an authorized agent to make a request on your behalf by emailing us as described in the “**Contact Us**” section. Upon receiving a request, we will first verify your identity and endeavor to respond to your verifiable request within 45 days after receiving it. If we need to extend this period, we will inform you of such in writing.

We will not discriminate or retaliate against you for exercising your privacy rights under the CCPA.

6. Changes to this privacy notice

The effective date on this notice indicates the date on which this notice was last updated. We periodically will review and may modify this privacy notice.

7. Contact us

All questions, requests, or concerns regarding this privacy notice or the collection and use of your personal information should be sent to privacy@deshaw.com.