Data Protection Policy

1. Introduction

This Policy sets out the obligations of Advent Life Sciences LLP, a limited liability partnership company registered in the UK under number OC347034, whose registered office is at 158-160 North Gower Street, London, NW1 2ND ("the Company") regarding data protection and the rights of investors and related contacts, partners, employees, contractors and other business contacts ("data subjects") in respect of their personal data under EU Regulation 2016/679 General Data Protection Regulation ("GDPR").

The GDPR defines "personal data" as any information relating to an identified or identifiable natural person; an identifiable natural person is one 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.

This Policy sets the Company's obligations regarding the collection, processing, transfer, storage, and disposal of personal data. The procedures and principles set out herein must be followed at all times by the Company, its employees, agents, contractors, or other parties working on behalf of the Company.

2. The Data Protection Principles

This Policy aims to ensure compliance with the GDPR. The GDPR sets out the following principles with which any party handling personal data must comply:

2.1 The Company processes personal data lawfully, fairly and in a transparent manner;

2.2 The Company collects personal data only for specified, explicit and legitimate purposes;

2.3 The Company processes personal data only where it is adequate, relevant and limited to what is necessary for the purposes of processing;

2.4 The Company keeps accurate personal data and takes all reasonable steps to ensure that inaccurate personal data is rectified or deleted without delay;

2.5 The Company keeps personal data only for the period necessary for processing; and

2.6 The Company adopts appropriate measures to make sure that personal data is secure, and protected against unauthorised or unlawful processing, and accidental loss, destruction or damage.

3. The Rights of Data Subjects

3.1 The Company tells individuals the reasons for processing their personal data, how it uses such data and the legal basis for processing in its privacy notices. It will not process personal data of individuals for other reasons.

4. Lawful, Fair, and Transparent Data Processing

4.1 The GDPR seeks to ensure that personal data is processed lawfully, fairly, and transparently, without adversely affecting the rights of the data subject. The GDPR states that processing of personal data shall be lawful if at least one of the following applies:

4.1.1 The data subject has given consent to the processing of their personal data for one or more specific purposes;

Advent
Life Sciences

158-160 North Gower Street
London, NW1 2ND
T+44 (0)20 7932 2100
E contact@adventls.com

4.1.2 The processing is necessary for the performance of a contract to which the data subject is a party, or in order to take steps at the request of the data subject prior to entering into a contract with them;

4.1.3 The processing is necessary for compliance with a legal obligation to which the data controller is subject;

4.1.4 The processing is necessary to protect the vital interests of the data subject or of another natural person;

4.1.5 The processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the data controller; or

4.1.6 The processing is necessary for the purposes of the legitimate interests pursued by the data controller or by a third party, except where such interests are overridden by the fundamental rights and freedoms of the data subject which require protection of personal data, in particular where the data subject is a child.

5. **Specified, Explicit, and Legitimate Purposes**

5.1 The Company only collects, processes, and holds personal data for the specific purposes and other purposes expressly permitted by the GDPR.

5.2 Data subjects are kept informed at all times of the purpose or purposes for which the Company uses their personal data.

6. **Adequate, Relevant, and Limited Data Processing**

The Company will only collect and process personal data for and to the extent necessary for the specific purpose or purposes of which data subjects have been informed (or will be informed).

7. **Accuracy of Data and Keeping Data Up-to-Date**

7.1 The Company shall ensure that all personal data collected, processed, and held by it is kept accurate and up-to-date. This includes, but is not limited to, the rectification of personal data at the request of a data subject.

7.2 The accuracy of personal data shall be checked when it is collected and at regular intervals thereafter. If any personal data is found to be inaccurate or out-of-date, all reasonable steps will be taken without delay to amend or erase that data, as appropriate.

8. **Data Retention**

8.1 The Company shall not keep personal data for any longer than is necessary in light of the purpose or purposes for which that personal data was originally collected, held, and processed.

8.2 When personal data is no longer required, all reasonable steps will be taken to erase or otherwise dispose of it without delay.

9. **Secure Processing**

The Company shall ensure that all personal data collected, held, and processed is kept secure and protected against unauthorised or unlawful processing and against accidental loss, destruction, or damage.

10. **Accountability and Record-Keeping**

10.1 The Persons responsible for data protection compliance are the General Partners of the Company. The General Partners are assisted by Rowena Patel with regards to GDPR compliance and can be

contacted at rowena.patel@adventLS.com.

10.2 The Company shall keep written internal records of all personal data collection, holding, and processing, which shall incorporate the following information:

10.2.1 The name and details of the Company and any applicable third-party data processors;

10.2.2 The purposes for which the Company collects, holds, and processes personal data;

10.2.3 Details of the categories of personal data collected, held, and processed by the Company, and the categories of data subject to which that personal data relates;

10.2.4 Details of any transfers of personal data to non-EEA countries including all mechanisms and security safeguards;

10.2.5 Details of how long personal data will be retained by the Company; and

10.2.6 Detailed descriptions of all technical and organisational measures taken by the Company to ensure the security of personal data.

11. Data Protection Impact Assessments

The Company shall carry out Data Protection Impact Assessments for any and all new projects and/or new uses of personal data which involve the use of new technologies and whether the processing involved is likely to result in a high risk to the rights and freedoms of data subjects under the GDPR.

12. Keeping Data Subjects Informed

12.1 The Company shall provide the following information for Part 11 to every data subject:

12.1.1 Where personal data is collected directly from data subjects, those data subjects will be informed of its purpose at the time of collection; and

12.1.2 Where personal data is obtained from a third party, the relevant data subjects will be informed of its purpose:

a) if the personal data is used to communicate with the data subject, when the first communication is made; or

b) if the personal data is to be transferred to another party, before that transfer is made; or

c) as soon as reasonably possible and in any event not more than one month after the personal data is obtained.

12.2 The following information shall be provided:

12.2.1 Details of the Company;

12.2.2 The purpose(s) for which the personal data is being collected and will be processed and the legal basis justifying that collection and processing;

12.2.3 Where applicable, the legitimate interests upon which the Company is justifying its collection and processing of the personal data;

12.2.4 Where the personal data is not obtained directly from the data subject, the categories of personal data collected and processed;

12.2.5 Where the personal data is to be transferred to one or more third parties, details of those parties;

12.2.6 Where the personal data is to be transferred to a third party that is located outside of the European Economic Area (the "EEA"), details of that transfer, including but not limited to the safeguards in place.

12.2.7 Details of data retention;

12.2.8 Details of the data subject's rights under the GDPR;

12.2.9 Details of the data subject's right to withdraw their consent to the Company's processing of their personal data at any time;

12.2.10 Details of the data subject's right to complain to the Information Commissioner's Office (the "supervisory authority" under the GDPR);

12.2.11 Where applicable, details of any legal or contractual requirement or obligation necessitating the collection and processing of the personal data and details of any consequences of failing to provide it.

13. **Data Subject Access**

13.1 Data subjects may make subject access requests ("SARs") at any time to find out more about the personal data which the Company holds about them, what it is doing with that personal data, and why.

13.2 Employees wishing to make a SAR should do so by email or written request to the General Partners at rowena.patel@adventLS.com.

13.3 Responses to SARs shall normally be made within one month of receipt, however this may be extended by up to two months if the SAR is complex and/or numerous requests are made. If such additional time is required, the data subject shall be informed.

13.4 The Company does not charge a fee for the handling of normal SARs. The Company reserves the right to charge reasonable fees for additional copies of information that has already been supplied to a data subject, and for requests that are manifestly unfounded or excessive, particularly where such requests are repetitive.

14. **Rectification of Personal Data**

14.1 Data subjects have the right to require the Company to rectify any of their personal data that is inaccurate or incomplete.

14.2 The Company shall rectify the personal data in question, and inform the data subject of that rectification.

14.3 In the event that any affected personal data has been disclosed to third parties, those parties shall be informed of any rectification that must be made to that personal data.

15. **Erasure of Personal Data**

15.1 Data subjects have the right to request that the Company erases the personal data it holds about them in the following circumstances:

15.1.1 It is no longer necessary for the Company to hold that personal data with respect to the purpose(s) for which it was originally collected or processed;

15.1.2 The data subject wishes to withdraw their consent to the Company holding and processing their personal data;

15.1.3 The data subject objects to the Company holding and processing their personal data (and there is no overriding legitimate interest to allow the Company to continue doing so).

15.1.4 The personal data has been processed unlawfully;

15.1.5 The personal data needs to be erased in order for the Company to comply with a particular legal obligation**.**

15.2 Unless the Company has reasonable grounds to refuse to erase personal data, all requests for erasure shall be complied with, and the data subject informed of the erasure.

15.3 In the event that any personal data that is to be erased in response to a data subject's request has been disclosed to third parties, those parties shall be informed of the erasure (unless it is impossible or would require disproportionate effort to do so).

16. **Restriction of Personal Data Processing**

16.1 Data subjects may request that the Company ceases processing the personal data it holds about them. If a data subject makes such a request, the Company shall retain only the amount of personal data concerning that data subject (if any) that is necessary to ensure that the personal data in question is not processed further.

16.2 In the event that any affected personal data has been disclosed to third parties, those parties shall be informed of the applicable restrictions on processing it (unless it is impossible or would require disproportionate effort to do so).

Data Portability

16.3 Where data subjects have given their consent to the Company to process their personal data in such a manner, or the processing is otherwise required for the performance of a contract between the Company and the data subject, data subjects have the right, under the GDPR, to receive a copy of their personal data and to use it for other purposes (namely transmitting it to other data controllers).

16.4 To facilitate the right of data portability, the Company shall make available all applicable personal data to data subjects via electronic mail.

Where technically feasible, if requested by a data subject, personal data shall be sent directly to the required data controller.

17. **Objections to Personal Data Processing**

17.1 Data subjects have the right to object to the Company processing their personal data based on legitimate interests and direct marketing (including profiling).

17.2 Where a data subject objects to the Company processing their personal data based on its legitimate interests, the Company shall cease such processing immediately, unless it can be demonstrated that the Company's legitimate grounds for such processing override the data subject's interests, rights, and freedoms, or that the processing is necessary for the conduct of legal claims.

17.3 Where a data subject objects to the Company processing their personal data for direct marketing purposes, the Company shall cease such processing immediately.

18. **Data Security - Transferring Personal Data and Communications**

The Company shall ensure that the following measures are taken with respect to all communications and other transfers involving personal data:

18.1 All emails containing personal data must be encrypted using Cobweb Hosted service and Messagelabs email security.

18.2 Personal data may not be transmitted over a wireless network if there is a wired alternative that is reasonably practicable this is fine.

18.3 Where personal data is to be sent by facsimile transmission the recipient should be informed in advance of the transmission.

18.4 All personal data to be transferred physically, whether in hardcopy form or on removable electronic media shall be transferred in a suitable container marked "confidential".

19. **Data Security - Storage**

The Company shall ensure that the following measures are taken with respect to the storage of personal data:

19.1 All electronic copies of personal data should be stored securely using passwords

19.2 All hardcopies of personal data, along with any electronic copies stored on physical, removable media should be stored securely in a locked box, drawer, cabinet, or similar;

19.3 All personal data that is stored electronically within the Advent domain is automatically backed up and stored securely.

19.4 No personal data should be transferred to any device personally belonging to an employee and personal data may only be transferred to devices belonging to agents, contractors, or other parties working on behalf of the Company where the party in question has agreed to comply fully with the letter and spirit of this Policy and of the GDPR (which may include demonstrating to the Company that all suitable technical and organisational measures have been taken).

20. **Data Security - Disposal**

When any personal data is to be erased or otherwise disposed of for any reason (including where copies have been made and are no longer needed), it should be securely deleted and disposed of.

21. **Data Security - Use of Personal Data**

The Company shall ensure that the following measures are taken with respect to the use of personal data:

21.1 No personal data may be shared informally and if an employee, agent, sub-contractor, or other party working on behalf of the Company requires access to any personal data that they do not already have access to, such access should be formally requested from the General Partners;

21.2 No personal data may be transferred to any employees, agents, contractors, or other parties, whether such parties are working on behalf of the Company or not, without the authorisation of a General Partner.

21.3 Personal data must be handled with care at all times and should not be left unattended or on view to unauthorised employees, agents, sub-contractors, or other parties at any time;

21.4 If personal data is being viewed on a computer screen and the computer in question is to be left unattended for any period of time, the user must lock the computer and screen before leaving it; and

21.5 Where personal data held by the Company is used for marketing purposes, it shall be the responsibility of the General Partners to ensure that the appropriate consent is obtained and that no data subjects have opted out, whether directly or via a third-party service such as the TPS.

22. **Data Security - IT Security**

The Company shall ensure that the following measures are taken with respect to IT and information security:

22.1 All computers used to store personal data must be password protected and this password must not be shared with non-company staff or contractors.

22.2 Under no circumstances should any passwords be written down or shared between any employees, agents, contractors, or other parties working on behalf of the Company, irrespective of seniority or department. If a password is forgotten, it must be reset using the applicable method.

22.3 All software (including, but not limited to, applications and operating systems) shall be kept up-to-date. The Company's

IT staff shall be responsible for installing any and all security-related updates as soon as reasonably and practically possible**,** unless there are valid technical reasons not to do so; and

22.4 No software may be installed on any Company-owned computer or device without the prior approval of the Head of IT, Paul Girling.

23. **Organisational Measures**

The Company shall ensure that the following measures are taken with respect to the collection, holding, and processing of personal data:

23.1 All employees, agents, contractors, or other parties working on behalf of the Company shall be made fully aware of both their individual responsibilities and the Company's responsibilities under the GDPR and under this Policy, and shall be provided with a copy of this Policy in the Company compliance manual;

23.2 Only employees, agents, sub-contractors, or other parties working on behalf of the Company that need access to, and use of, personal data in order to carry out their assigned duties correctly shall have access to personal data held by the Company;

23.3 All employees, agents, contractors, or other parties working on behalf of the Company handling personal data will be appropriately trained to do so;

23.4 All employees, agents, contractors, or other parties working on behalf of the Company handling personal data will be appropriately supervised;

23.5 All employees, agents, contractors, or other parties working on behalf of the Company handling personal data shall be required and encouraged to exercise care, caution, and discretion when discussing work-related matters that relate to personal data, whether in the workplace or otherwise;

23.6 Methods of collecting, holding, and processing personal data shall be regularly evaluated and reviewed;

23.7 All personal data held by the Company shall be reviewed periodically;

23.8 The performance of those employees, agents, contractors, or other parties working on behalf of the Company handling personal data shall be regularly evaluated and reviewed;

23.9 All employees, agents, contractors, or other parties working on behalf of the Company handling personal data will be bound to do so in accordance with the principles of the GDPR and this Policy by contract;

23.10 All agents, contractors, or other parties working on behalf of the Company handling personal data must ensure that any and all of their employees who are involved in the processing of personal data are held to the same conditions as those relevant employees of the Company arising out of this Policy and the GDPR; and

23.11 Where any agent, contractor or other party working on behalf of the Company handling personal data fails in their obligations under this Policy that party shall indemnify and hold harmless the Company against any costs, liability, damages, loss, claims or proceedings which may arise out of that failure.

24. **Transferring Personal Data to a Country Outside the EEA**

24.1 The Company may from time to time transfer ('transfer' includes making available remotely) personal data to countries outside of the EEA.

24.2 The transfer of personal data to a country outside of the EEA shall take place only if one or more of the following applies:

24.2.1 The transfer is to a country, territory, or one or more specific sectors in that country (or an international organisation), that the European Commission has determined ensures an adequate level of protection for personal data;

24.2.2 The transfer is to a country (or international organisation) which provides appropriate safeguards in the form of a legally binding agreement between public authorities or bodies; binding corporate rules; standard data protection clauses adopted by the European Commission; compliance with an approved code of conduct approved by a supervisory authority (e.g. the Information Commissioner's Office); certification under an approved certification mechanism (as provided for in the GDPR); contractual clauses agreed and authorised by the competent supervisory authority; or provisions inserted into administrative arrangements between public authorities or bodies authorised by the competent supervisory authority;

24.2.3 The transfer is made with the informed consent of the relevant data subject(s);

24.2.4 The transfer is necessary for the performance of a contract between the data subject and the Company (or for pre-contractual steps taken at the request of the data subject);

24.2.5 The transfer is necessary for important public interest reasons;

24.2.6 The transfer is necessary for the conduct of legal claims;

24.2.7 The transfer is necessary to protect the vital interests of the data subject or other individuals where the data subject is physically or legally unable to give their consent; or

24.2.8 The transfer is made from a register that, under UK or EU law, is intended to provide information to the public and which is open for access by the public in general or otherwise to those who are able to show a legitimate interest in accessing the register.

25. Data Breach Notification

25.1 All personal data breaches must be reported immediately to the General Partners.

25.2 If a personal data breach occurs and that breach is likely to result in a risk to the rights and freedoms of data subjects (e.g. financial loss, breach of confidentiality, discrimination, reputational damage, or other significant social or economic damage), the General Partners must ensure that the Information Commissioner's Office is informed of the breach without delay, and in any event, within 72 hours after having become aware of it.

25.3 In the event that a personal data breach is likely to result in a high risk to the rights and freedoms of data subjects, the General Partners must ensure that all affected data subjects are informed of the breach directly and without undue delay.

25.4 Data breach notifications shall include the following information:

25.4.1 The categories and approximate number of data subjects concerned;

25.4.2 The categories and approximate number of personal data records concerned;

25.4.3 The likely consequences of the breach;

25.4.4 Details of the measures taken, or proposed to be taken, by the Company to address the breach including, where appropriate, measures to mitigate its possible adverse effects.

26. Implementation of Policy

This Policy shall be deemed effective as of 25th May 2018. No part of this Policy shall have retroactive effect and shall thus apply only to matters occurring on or

after this date.

This Policy has been approved and authorised by:

Name:	Saiyed Kaasim Mahmood
Position:	General Partner
Date:	22nd May 2018
Signature:	