

## Self-Identification Information By Country

Completing the Self Identification Form is entirely voluntary and does not affect your employment or potential employment in any way. However, we hope you decide to complete it, as it will help to assist the Company in its efforts to create a diverse, equitable and inclusive environment. You may freely decide to give or refuse your consent. If you decide to complete this Form, you remain entitled to withdraw your consent to our use of the data provided at any time and without providing a reason. If you decide not to complete the Form or withdraw your consent, this will not have any negative impact on your employment or potential employment with the Company, nor will it be used to your detriment in any regard. In case of withdrawal of your consent, the data you provided in the Form will no longer be processed (except for compliance with our statutory obligations). You may withdraw your Form by e-mailing the Barings Global Data Privacy Manager at [DPM@Barings.com](mailto:DPM@Barings.com).

[United Kingdom](#)

[Singapore](#)

[United States of America](#)

[Switzerland](#)

[Peoples Republic of China](#)

[Taiwan](#)

[Hong Kong](#)

[Ireland](#)

[Japan](#)

[Spain](#)

[South Korea](#)

[Italy](#)

### United Kingdom

If you give us your below consent, we will ask you to complete our Self-Identification Form.

**Please review the information provided below and then respond 'Yes' or 'No' in the online job application to confirm whether you wish to provide your consent for Barings to collect your personal data through our Self-Identification Form.**

A. What is the purpose of the Self-Identification Form?

Barings aims to have an inclusive environment for all employees by identifying and removing barriers in our practices. To help us gather a full picture of the diversity of people working at, or applying for positions at Barings, you have an opportunity to disclose certain demographic data. You will be asked to provide information about race/ethnicity, gender, and whether you identify as a member of the LGBTQ+

community (some of this data is 'special category data' under the General Data Protection Regulation (GDPR)).

Providing this demographic data will help Barings build an inclusive environment, evaluate progress toward the firm's overall diversity, equity and inclusion initiatives and goals, and measure impact and outcomes for varying groups at all stages of the employee life cycle. It will help Barings to respond (on an anonymized basis) to requests for information from Barings' clients, who are increasingly focused on Barings' progress towards its own diversity and equity goals. It will also help Barings meet its obligations under any applicable legal and regulatory obligations, including the Equality Act 2010.

**B. How will Barings handle any information which is voluntarily shared through the Self-Identification Form?**

Your responses are confidential, and Barings will comply with the GDPR and all applicable data protection laws as well as all internal policies related to the collection of personal information, including the Barings Global Privacy Notice.

Within Barings, those who will have access to this data include personnel in the Human Resources, Legal and Compliance departments responsible for processing, evaluating and monitoring data.

Anonymized data may be shared with Barings' leadership and external organizations for the purposes of equality charters, initiatives and resolutions and/or responding to request for proposals (RFP) and due diligence questionnaires (DDQ); and (b) the information can also be included in reports that assess progress toward goals and/or commitments that Barings has made. The reports will not name individuals and published information will be aggregated.

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**United States of America**

**Self-Identification Information**



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Providing this demographic data will help Barings build an inclusive environment, evaluate progress toward the firm’s overall diversity, equity and inclusion initiatives and goals, and measure impact and outcomes for varying groups at all stages of the employee life cycle. It will help Barings to respond (on an anonymized basis) to requests for information from Barings’ clients, who are increasingly focused on Barings’ progress towards its own diversity and equity goals. It will also help Barings meet applicable legal and regulatory obligations.

**B. How will Barings handle information which is voluntarily shared through the Self-Identification Form?**

Your responses are confidential, and Barings will comply with all applicable data protection laws (including the California Consumer Privacy Act of 2018), the Barings Global Privacy Notice, Job Applicant Privacy Notice, and our other internal policies related to the collection of personal information.

Within Barings, those who will have access to this data include personnel in the Human Resources, Legal and Compliance departments responsible for processing, evaluating and monitoring data relating to our employees and diversity initiatives.

Anonymized data may be shared with Barings’ leadership and external organizations for the purposes of equality charters, initiatives and resolutions and/or responding to request for proposals (RFP) and due diligence questionnaires (DDQ); and (b) the information can also be included in reports that assess progress toward goals and/or commitments that Barings has made. The reports will not name individuals, and published information will be aggregated.

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Peoples Republic of China

## **Self-Identification Information - Sensitive Personal Information Collection and Usage Consent**

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Your responses are confidential, and Barings will comply with all applicable data protection laws, the Barings Global Privacy Notice, and our other internal policies related to the collection of sensitive personal information.

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Hong Kong

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## Japan

### **Self-Identification Information - Sensitive Personal Information Collection and Usage Consent**

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## South Korea

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## C. Consent Relations to Information Collection and Recipients of the Information.

1. **Information Collected:** Gender, race/ethnicity, pronouns, military service, identification as member of LGBTQ+ community

**Purpose:** See Section A above which sets for the purpose of the information collection.

**Period of Possession:** 7 years

2. **Recipient:** Barings, LLC, Barings Asset Management Limited, Barings Asset Management (Korea) Limited and their subsidiaries and affiliates.

**Information Collected:** Gender, race/ethnicity, pronouns, military service, identification as member of LGBTQ+ community

**Purpose:** See Section A above which sets for the purpose of the information collection.

**Period of Possession:** 7 years

## Singapore

### **Self-Identification Information - Sensitive Personal Information Collection and Usage Consent**

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Providing this demographic data will help Barings build an inclusive environment, evaluate progress toward the firm’s overall diversity, equity and inclusion initiatives and goals, and measure impact and outcomes for varying groups at all stages of the employee life cycle. It will help Barings to respond (on an anonymized basis) to requests for information from Barings’ clients, who are increasingly focused on Barings’ progress towards its own diversity and equity goals. It will also help Barings meet applicable legal and regulatory obligations.

## B. How will Barings handle information which is voluntarily shared through the Self-Identification Form?

Your responses are confidential, and Barings will comply with all applicable data protection laws, the Barings Global Privacy Notice, and our other internal policies related to the collection of sensitive personal information.

Within Barings, those who will have access to this data include personnel in the Human Resources, Legal and Compliance departments responsible for processing, evaluating and monitoring data relating to our employees and diversity initiatives.

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Switzerland

### **Self-Identification Information**

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Providing this demographic data will help Barings build an inclusive environment, evaluate progress toward the firm’s overall diversity, equity and inclusion initiatives and goals, and measure impact and outcomes for varying groups at all stages of the employee life cycle. It will help Barings to respond (on an anonymized basis) to requests for information from Barings’ clients, who are increasingly focused on Barings’ progress towards its own diversity and equity goals. It will also help Barings meet its obligations under any applicable legal and regulatory obligations, including the UK Equality Act 2010.

## B. How will Barings handle any information which is voluntarily shared through the Self-Identification Form?

Your responses are confidential, and Barings will comply with the GDPR and all applicable data protection laws as well as all internal policies related to the collection of personal information, including the Barings Global Privacy Notice.

Your responses will be shared with Barings group entities in the UK and may be shared with other entities of the Barings group. Within the Barings group, those who will have access to this data include personnel in the Human Resources, Legal and Compliance departments responsible for processing, evaluating and monitoring data.

Anonymized data may be (a) shared with Barings’ leadership and external organizations for the purposes of equality charters, initiatives and resolutions and/or responding to request for proposals (RFP) and due diligence questionnaires (DDQ); and (b) the information can also be included in reports that assess progress toward goals and/or commitments that Barings has made. The reports will not name individuals and published information will be aggregated.

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## Taiwan

### **SELF-IDENTIFICATION INFORMATION - Sensitive Personal Information Collection and Usage Consent**

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Barings aims to have an inclusive environment for all employees by identifying and removing barriers in our practices. To help us gather a full picture of the diversity of people working at, or applying for positions at Barings, you have an opportunity to disclose certain demographic data. If you choose to participate, you will be asked to provide gender information.

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How will Barings handle information which is voluntarily shared through the Self-Identification Form?

Your responses are confidential, and Barings will comply with all applicable data protection laws, the Barings Global Privacy Notice, and our other internal policies related to the collection of sensitive personal information.

Within Barings, those who will have access to this data include personnel in the Human Resources, Legal and Compliance departments responsible for processing, evaluating and monitoring data relating to our employees and diversity initiatives.

During your employment, the information that you voluntarily share may be collected, processed and used within Barings in the form of printed documents and/or electronic files. Anonymized data may be shared with Barings' leadership and external organizations for the purposes of equality charters, initiatives and resolutions and/or responding to request for proposals (RFP) and due diligence questionnaires (DDQ); and the information can also be included in reports that assess progress toward goals and/or commitments that Barings has made. The reports will not name individuals, and published information will be aggregated.

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**You are also entitled at any time to (1) request access your sensitive personal information to check and review them; (2) be provided with a copy of your sensitive personal information; (3) supplement or correct your sensitive personal information; (4) require that Barings cease the collection, processing, or use of your sensitive personal information; and (5) require that Barings delete your sensitive personal information.**

Ireland

## **Self-Identification Information**

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## B. How will Barings handle any information which is voluntarily shared through the Self-Identification Form?

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## Spain

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A. What is the purpose of the Self-Identification Form?

Barings aims to have an inclusive environment for all employees by identifying and removing barriers in our practices while complying with Spanish Law on data protection. To help us gather a full picture of the diversity of people working at, or applying for positions at Barings, you have an opportunity to disclose certain demographic data. To the extent permitted by Law, you will be asked to provide information about race/ethnicity and gender (under Spanish Law this data is ‘special category data’ under the General Data Protection Regulation (GDPR)).

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B. How will Barings handle any information which is voluntarily shared through the Self-Identification Form?

Your responses are confidential, and Barings will comply with the GDPR and all applicable data protection laws in Spain as well as all internal policies related to the collection of personal information, including the Barings Global Privacy Notice.



Within Barings, those who will have access to this data include personnel in the Human Resources, Legal and Compliance departments responsible for processing, evaluating and monitoring data.

Only your anonymized data may be shared with Barings' leadership and external organizations for the purposes of equality charters, initiatives and resolutions and/or responding to request for proposals (RFP) and due diligence questionnaires (DDQ); and (b) the information can also be included in reports that assess progress toward goals and/or commitments that Barings has made. The reports will not name individuals and published information will be aggregated.

## PLEASE NOTE:

**Completing this Form is entirely voluntary and does not affect your employment or potential employment in any way.** However, we hope you decide to complete it, as it will help to assist Barings in its efforts to create a diverse, equitable and inclusive environment.

**You may freely decide to give or refuse your consent. If you give your consent, you remain entitled to withdraw it at any time and without providing a reason. If you decide not to consent or withdraw your consent, this will not have any negative impact on your employment or potential employment with Barings, nor will it be used to your detriment in any regard.**

**In case of withdrawal of your consent, the data you provided in the Self-Identification Form will no longer be processed (except for compliance with our statutory obligations). You may withdraw your consent by e-mailing the Barings Global Data Privacy Manager at [DPM@Barings.com](mailto:DPM@Barings.com).**

## **INFORMACIÓN DE AUTO-IDENTIFICACIÓN**

Solamente en el caso de recibir su consentimiento expreso que se expone a continuación, le pediremos que complete nuestro Cuestionario de Auto-Identificación.

**Por favor, revise la información proporcionada a continuación y luego responda "sí" o "no" para confirmar si desea dar su consentimiento para que Barings recopile sus datos personales a través de nuestro Cuestionario de Auto- Identificación.**

A. ¿Cuál es el objetivo del Cuestionario de Auto- Identificación?

Barings tiene como objetivo tener un entorno inclusivo para todos los empleados, identificando y eliminando las barreras en nuestras prácticas, al tiempo que cumplimos con la Ley Española de protección de datos. Para ayudarnos a obtener una imagen completa de la diversidad de las personas que trabajan o solicitan puestos en Barings, usted tiene la oportunidad de revelar ciertos datos demográficos. En la medida en que la ley lo permita, se le pedirá que proporcione información sobre origen racial/étnico y género (según la ley española estos datos son "datos de categoría especial" según el Reglamento General de Protección de Datos (RGPD)).

Proporcionar estos datos demográficos ayudará a Barings a construir un entorno inclusivo, a evaluar el progreso hacia las iniciativas y objetivos generales de diversidad, igualdad e inclusión de la empresa, y a medir el impacto y los resultados para los distintos grupos en todas las etapas del ciclo de vida del empleado. Ayudará a Barings a responder (siempre de forma anónima) a las solicitudes de información de los clientes de Barings, que se centran cada vez más en el progreso de Barings hacia sus propios objetivos de diversidad e igualdad. La mencionada divulgación y tratamiento voluntario de datos sensibles se basará en los fundamentos de la normativa local española.

**B. ¿Cómo tratará Barings cualquier información que se comparta voluntariamente a través del Cuestionario de Auto-Identificación?**

Sus respuestas son confidenciales, y Barings cumplirá con el RGPD y todas las leyes de protección de datos aplicables en España, así como con todas las políticas internas relacionadas con la recopilación de información personal, incluido el Aviso de Privacidad Global de Barings.

Dentro de Barings, quienes tendrán acceso a estos datos son el personal de los departamentos de Recursos Humanos, Legal y Compliance responsables del tratamiento, evaluación y seguimiento de los datos.

Únicamente sus datos anonimizados podrán ser compartidos con la dirección de Barings y con organizaciones externas a efectos de cartas de igualdad, iniciativas y resoluciones y/o para responder a solicitudes de propuestas y cuestionarios de due diligence; y (b) la información también podrá ser incluida en informes que evalúen el progreso hacia los objetivos y/o compromisos que Barings haya asumido. Los informes no nombrarán a los individuos y la información publicada será agregada.

**POR FAVOR, TENGA EN CUENTA:**

**La cumplimentación de este Cuestionario es totalmente voluntaria y no afecta en modo alguno a su empleo o posible empleo. Sin embargo, esperamos que decida completarlo, ya que ayudará a Barings en sus esfuerzos por crear un entorno diverso, equitativo e inclusivo.**

**Usted puede decidir libremente dar o rechazar su consentimiento. Si da su consentimiento, sigue teniendo derecho a rectificarlo en cualquier momento y sin necesidad de justificarlo. Si decide no consentir o retirar su consentimiento, ello no tendrá ninguna repercusión negativa en su empleo o posible empleo en Barings, ni se utilizará en su perjuicio en ningún otro aspecto.**

En el caso de que retire su consentimiento, los datos que proporcionó en el Cuestionario de Auto- Identificación dejarán de ser tratados (excepto para el cumplimiento de nuestras obligaciones legales). Puede retirar su consentimiento enviando un correo electrónico a el Responsable Global de Privacidad de Datos de Barings en [DPM@Barings.com](mailto:DPM@Barings.com).

**Al elegir “Si” a continuación, doy mi consentimiento para que la información personal que proporcionó en el Cuestionario de Auto- Identificación (incluidas mis respuestas sobre el género y raza/etnia) sean tratados con el fin de llevar a cabo el seguimiento de la diversidad y las actividades si así lo exige la ley y/o lo permite, cada uno de ellos de acuerdo con los términos adicionales establecidos en el Aviso de Privacidad de Barings e**

Italy

## **Self-Identification Information**

If you give us your below consent, we will ask you to complete our Self-Identification Form.

**Please review the information provided below and then respond ‘Yes’ or ‘No’ in the online job application to confirm whether you wish to provide your consent for Barings to collect your personal data through our Self-Identification Form.**

A. What is the purpose of the Self-Identification Form?

Barings aims to have an inclusive environment for all employees by identifying and removing barriers in our practices. To help us gather a full picture of the diversity of people working at, or applying for positions at Barings, you have an opportunity to disclose certain demographic data. You will be asked to provide information about race/ethnicity and gender (some of this data is ‘special category data’ under the General Data Protection Regulation (GDPR)).

Providing this demographic data will help Barings build an inclusive environment, evaluate progress toward the firm’s overall diversity, equity and inclusion initiatives and goals, and measure impact and outcomes for varying groups at all stages of the employee life cycle. It will help Barings to respond (on an anonymized basis) to requests for information from Barings’ clients, who are increasingly focused on Barings’ progress towards its own diversity and equity goals. It will also help Barings meet its obligations under any applicable legal and regulatory obligations, including the UK Equality Act 2010.

B. How will Barings handle any information which is voluntarily shared through the Self-Identification Form?

Your responses are confidential, and Barings will comply with the GDPR and all applicable data protection laws as well as all internal policies related to the collection of personal information, including the Barings Global Privacy Notice.

Within Barings, those who will have access to this data include personnel in the Human Resources, Legal and Compliance departments responsible for processing, evaluating and monitoring data.

Anonymized data may be (a) shared with Barings' leadership and external organizations for the purposes of equality charters, initiatives and resolutions and/or responding to request for proposals (RFP) and due diligence questionnaires (DDQ); and (b) the information can also be included in reports that assess progress toward goals and/or commitments that Barings has made. The reports will not name individuals and published information will be aggregated.

**Please Note:**

**Completing this Form is entirely voluntary and does not affect your employment or potential employment in any way. However, we hope you decide to complete it, as it will help to assist Barings in its efforts to create a diverse, equitable and inclusive environment.**

**You may freely decide to give or refuse your consent. If you give your consent, you remain entitled to withdraw it at any time and without providing a reason. If you decide not to consent or withdraw your consent, this will not have any negative impact on your employment or potential employment with Barings, nor will it be used to your detriment in any regard.**

**In case of withdrawal of your consent, the data you provided in the Self-Identification Form will no longer be processed (except for compliance with our statutory obligations). You may withdraw your consent by e-mailing the Barings Global Data Privacy Manager at [DPM@Barings.com](mailto:DPM@Barings.com).**

**Singapore**

**Self-Identification Information - Sensitive Personal Information Collection and Usage Consent**

If you give us your below consent, we will ask you to complete our Self-Identification Form.

**Please review the information provided below and then respond 'Yes' or 'No' in the online job application to confirm whether you wish to provide your consent for Barings to collect your sensitive personal information through our Self-Identification Form.**

## A. What is the purpose of the Self-Identification Form?

Barings aims to have an inclusive environment for all employees by identifying and removing barriers in our practices. To help us gather a full picture of the diversity of people working at, or applying for positions at Barings, you have an opportunity to disclose certain demographic data. If you choose to participate, you will be asked to provide information about your race/ethnicity, gender and whether you identify as a member of the LGBTQ+ community.

Providing this demographic data will help Barings build an inclusive environment, evaluate progress toward the firm's overall diversity, equity and inclusion initiatives and goals, and measure impact and outcomes for varying groups at all stages of the employee life cycle. It will help Barings to respond (on an anonymized basis) to requests for information from Barings' clients, who are increasingly focused on Barings' progress towards its own diversity and equity goals. It will also help Barings meet applicable legal and regulatory obligations.

## B. How will Barings handle information which is voluntarily shared through the Self-Identification Form?

Your responses are confidential, and Barings will comply with all applicable data protection laws, the Barings Global Privacy Notice, and our other internal policies related to the collection of sensitive personal information.

Within Barings, those who will have access to this data include personnel in the Human Resources, Legal and Compliance departments responsible for processing, evaluating and monitoring data relating to our employees and diversity initiatives.

Anonymized data may be shared with Barings' leadership and external organizations for the purposes of equality charters, initiatives and resolutions and/or responding to request for proposals (RFP) and due diligence questionnaires (DDQ); and the information can also be included in reports that assess progress toward goals and/or commitments that Barings has made. The reports will not name individuals, and published information will be aggregated.

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