

## CCPA Notice at Collection for California Employees and Applicants

MarketAxess collects and uses Personal Information for human resources, employment, benefits administration, health and safety, and business-related purposes and to be in legal compliance. Below are the categories of Personal Information we collect and the purposes for which we intend to use this information:

- **Identifying information**, such as your full name, gender, date of birth, and signature.
- **Demographic data**, such as race, ethnic origin, marital status, disability, and veteran or military status.
- **Contact information**, such as your home address, telephone numbers, email addresses, and emergency contact information.
- **Dependent's or other individual's information**, such as their full name, address, date of birth, and Social Security numbers (SSN).
- **National identifiers**, such as SSN, passport and visa information, and immigration status and documentation.
- **Educational and professional background**, such as your work history, academic and professional qualifications, educational records, references, and interview notes.
- **Employment details**, such as your job title, position, hire dates, compensation, performance and disciplinary records, and vacation and sick leave records.
- **Financial information**, such as banking details, tax information, payroll information, and withholdings.
- **Health and Safety information**, such as health conditions (if relevant to your employment), job restrictions, workplace illness and injury information, and health insurance policy information.
- **Information Systems (IS) information**, such as your search history, browsing history, login information, and IP addresses on MarketAxess' information systems and networks.
- **Biometric information**, such as fingerprints.
- **Geolocation data**, such as time and physical location related to use of an internet website, application, device, or physical access to a MarketAxess office location.
- **Sensory or surveillance information**, such as monitoring and video surveillance.
- Profile or summary about an applicant/employee's preferences, characteristics, abilities, and aptitudes.

MarketAxess collects Personal Information to use or disclose as appropriate to:

- Comply with all applicable laws and regulations.
- Recruit and evaluate job applicants and candidates for employment.
- Conduct background checks.
- Manage your employment relationship with us, including for:
  - onboarding processes;
  - timekeeping, payroll, and expense report administration;
  - employee benefits administration;

- employee training and development requirements;
  - the creation, maintenance, and security of your online employee accounts;
  - reaching your emergency contacts when needed, such as when you are not reachable or are injured or ill;
  - workers' compensation claims management;
  - employee job performance, including goals and performance reviews, promotions, discipline, and termination; and
  - other human resources purposes
- Manage and monitor employee access to company facilities, equipment, and systems.
  - Conduct internal audits and workplace investigations.
  - Investigate and enforce compliance with and potential breaches of MarketAxess policies and procedures.
  - Engage in corporate transactions requiring review of employee records, such as for evaluating potential mergers and acquisitions of MarketAxess.
  - Maintain commercial insurance policies and coverages, including for workers' compensation and other liability insurance.
  - Perform workforce analytics, data analytics, and benchmarking.
  - Administer and maintain MarketAxess' operations, including for safety purposes.
  - For client marketing purposes.
  - Exercise or defend the legal rights of MarketAxess and its employees, and affiliates, customers, contractors, and agents.

To view our privacy policy, please visit <https://www.marketaxess.com/legal/privacy-policy>.

If you have any questions about this Notice or need to access this Notice in an alternative format due to having a disability, please contact [ccpa@marketaxess.com](mailto:ccpa@marketaxess.com).