

The California Consumer Privacy Act (CCPA) Notice at Collection for California Employees and Applicants

MarketAxess collects and uses “Personal Information” for human resources, employment, benefits administration, health and safety, business-related purposes and to be in legal compliance with applicable laws, rules, and regulations. 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, affiliates, customers, contractors, and agents.

Your Rights and Choices: The CCPA provides California residents with specific rights regarding their Personal Information. This section describes your CCPA rights and explains how to exercise those rights.

- **Access to Specific Information and Data Portability Rights.** You have the right to request that MarketAxess disclose certain information to you about our collection and use of your Personal Information over the past 12 months. Once we receive and confirm your verifiable request, we will disclose to you: (i) the categories of Personal Information we collected about you; (ii) the categories of sources for the Personal Information we collected about you; (iii) our business or commercial purpose for collecting or selling that Personal Information; (iv) the categories of third parties with whom we share that Personal Information, if any; (v) the specific pieces of Personal Information we collected about you (also called a data portability request); (vi) if we sold or disclosed your Personal Information for a business purpose, two separate lists disclosing: (a) sales, identifying the Personal Information categories that each category of recipient purchased, if any; and (b) disclosures for a business purpose, identifying the Personal Information categories that each category of recipient obtained.
- **Deletion Request Rights.** You have the right to request that MarketAxess delete any of your Personal Information that we collected from you and retained, subject to certain exceptions. Once we receive and confirm your verifiable consumer request, we will delete (and direct our service providers to delete) your Personal Information from our

records, unless an exception applies. We may deny your deletion request if retaining the information is necessary for us or our service provider(s) to: (i) complete the transaction for which we collected the Personal Information, provide a good or service that you requested, take actions reasonably anticipated within the context of our ongoing business relationship with you, or otherwise perform our contract with you; (ii) detect security incidents, protect against malicious, deceptive, fraudulent, or illegal activity, or prosecute those responsible for such activities; (iii) debug products to identify and repair errors that impair existing intended functionality; (iv) exercise free speech, ensure the right of another consumer to exercise their free speech rights, or exercise another right provided for by law; (v) comply with the California Electronic Communications Privacy Act (Cal. Penal Code § 1546 et. seq.); (vi) engage in public or peer-reviewed research in accordance with Section 1798.105 (d)(6) of the CCPA; (vii) enable solely internal uses that are reasonably aligned with consumer expectations based on your relationship with us; (viii) comply with a legal obligation; or (ix) make other internal and lawful uses of that information that are compatible with the context in which you provided it.

- **Exercising Access, Data Portability, and Deletion Rights.** To exercise the access, data portability, and deletion rights described above, please submit a verifiable consumer request to us by either:

Visiting <https://www.marketaxess.com/contact-us> or
E-mail: ccpa@marketaxess.com.

Only you, or a person registered with the California Secretary of State that you authorize to act on your behalf, may make a verifiable consumer request related to your Personal Information.

You may only make a verifiable consumer request for access or data portability twice within a 12-month period. The verifiable consumer request must: (i) provide sufficient information that allows us to reasonably verify you are the person about whom we collected Personal Information or an authorized representative; and (ii) describe your request with sufficient detail that allows us to properly understand, evaluate, and respond to it. We cannot respond to your request or provide you with Personal Information if we cannot verify your identity or authority to make the request and confirm the Personal Information relates to you. We will only use Personal Information provided in a verifiable consumer request to verify the requestor's identity or authority to make the request.

- **Response Timing and Format.** We endeavor to respond to a verifiable consumer request within forty-five (45) days of its receipt. If we require more time (up to 90 days), we will inform you of the reason and extension period in writing. Any disclosures we provide will only cover the 12-month period preceding the verifiable consumer request's receipt. The response we provide will also explain the reasons we cannot comply with a request, if applicable. For data portability requests, we will select a format to provide your Personal Information that is readily useable and should allow you to transmit the information from one entity to another entity without hindrance. We do not charge a fee to process or respond to your verifiable consumer request unless it is excessive,

repetitive, or manifestly unfounded. If we determine that the request warrants a fee, we will tell you why we made that decision and provide you with a cost estimate before completing your request.

- **Non-Discrimination.** We will not discriminate against you for exercising any of your CCPA rights. Unless permitted by the CCPA, we will not: (i) deny you goods or services; (ii) Charge you different prices or rates for goods or services, including through granting discounts or other benefits, or imposing penalties; (iii) provide you a different level or quality of goods or services; (iv) suggest that you may receive a different price or rate for goods or services or a different level or quality of goods or services. However, we may offer you certain financial incentives permitted by the CCPA that can result in different prices, rates, or quality levels. Any CCPA-permitted financial incentive we offer will reasonably relate to your Personal Information's value and contain written terms that describe the program's material aspects. Participation in a financial incentive program requires your prior opt in consent, which you may revoke at any time.

Contact Information: If you have any questions or comments about this notice, the ways in which MarketAxess collects and uses your Personal Information, your choices and rights regarding such use, or wish to exercise your rights under California law, please do not hesitate to contact us at:

Website: <https://www.marketaxess.com/contact-us>

Email: ccpa@marketaxess.com

Postal Address:

MarketAxess with attention to: HR

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