

Appendix 2 to Novartis BCR

Glossary of Data Privacy Terms for the purpose of the BCR and the Application

“Adequacy Decision” means a decision issued by the European Commission or other competent institution under EEA+ Data Protection Law that a country or region or a category of recipients in such country or region is deemed to provide an "adequate" level of data protection.

“Competent Supervisory Authority” or “Competent SA” means the Lead SA and the SA of the EEA+ country at the origin of a Transfer of Personal Information under these BCR.

“Controller” means a Novartis Company or a third party, which alone or jointly with others determines the purposes for which and means with which, Personal Information is, or will be, Processed; where the purposes and means of Processing are determined by national or EU laws or regulations, the Controller or the specific criteria for his nomination may be designated by national or EU law.

“Data Exporter” means a Novartis Company operating as Controller in the EEA+ area that Transfers Personal Information, either directly or indirectly, through Processor acting on its behalf, to another Novartis Company established in a country outside the EEA+.

“Data Importer” means a Novartis Company established outside the EEA+ to which Personal Information is Transferred.

“Data Subject” means the data subjects as defined in Appendix 1 of the BCR.

“Division” means a fully functioning organization with full business accountability.

“DPDAI” means the Data Privacy, Digital & AI Compliance function at Novartis, as specified under Appendix 6 of the BCR.

“EEA+” means European Economic Area including all the EU Member States, Norway, Iceland, Liechtenstein and, for the purposes of these BCR, Switzerland.

“EEA+ Data Protection Law” means the provisions of mandatory law of an EEA country containing rules for the protection of individuals with regard to the Processing of Personal Information including security requirements for and the free movement of such Personal Information.

“Employee” means an individual employed by a respective Novartis Company.

“FADP” means the Swiss Federal Act on Data Protection.

“Lead SA” means the SA of France.

“Legitimate Business Purpose” means a purpose which is directly or indirectly related to the business operations of Novartis and which is not overridden by the fundamental rights and freedoms of the individual. A Legitimate Business Purpose may include compliance with legal, regulatory or ethical obligations applicable to a Novartis Company.

“Model Clauses” means standard data protection clauses adopted by the European Commission or a Supervisory Authority and approved by the European Commission pursuant to Article 46 (2)(c) and (d) GDPR and, if necessary, amended to comply with Swiss law.

“Novartis France” means Novartis Pharma SAS, 8 Rue Henri Sainte Claire Deville, 92500 Rueil-Malmaison, France (SIRET 41034907000178), the French affiliate of the Novartis Group.

“Personal Information” means 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), insofar as this information relates to a Data Subject and is Processed by Novartis.

“Process/Processing” or **“Processed”** means any operation or set of operations which is performed upon Personal Information, whether or not by automatic means, such as collection, recording, organization, storage, adaptation or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or otherwise making available, alignment or combination, blocking, erasure or destruction;

“Processor” means a Novartis Company or a third party, which Processes Personal Information on behalf and under instructions of the Controller.

“Special Categories of Personal Information” means Personal Information that reveals a Data Subject’s racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, social security, or a person’s sex life or sexual orientation, or data concerning health – including data collected in clinical trials, and the processing of genetic data, or biometric data for the purpose of uniquely identifying a natural person. In certain jurisdictions, including Switzerland, the collection of Personal Information which allows the appraisal of the essential characteristics, traits and personality of the Data Subject, is protected like Special Categories of Personal Information.

“Supervisory Authority” or **“SA”** means the GDPR supervisory authority of an EEA+ country.

“Transfer” or **“Transferred”** means any disclosure of Personal Information, including access, to a Controller or Processor in a non-EEA+ country. This may include but is not limited to the active disclosure, distributing, and publishing, viewing or accessing, including remote access, through manual, electronic or verbal means.

Version History

Effective Date	Owner	Version	CNIL
3 July 2012	Group Data Privacy	1.0	3 July 2012
3 September 2018	Group Data Privacy	2.0	3 September 2018
20 December 2024	Head Data Privacy Digital & AI Compliance Region Europe	3.0	20 December 2024