

# Personal information protection policy

## 1. PREAMBLE

Soleno handles personal information in the context of its activities and mission and recognizes the importance of respecting privacy and protecting personal information.

To fulfill its obligations, Soleno has adopted this Policy, which sets out the privacy principles that apply throughout the life cycle of personal information and cover the rights of the persons concerned.

Protecting personal information held by Soleno is the responsibility of all persons handling such data. They must understand and respect the privacy principles inherent to performing their duties or arising from their relationship with the company.

## 2. PURPOSE

This Policy:

- sets out the principles governing privacy throughout the life cycle of personal information and the exercise of the rights of the persons concerned;
- designates the person responsible for the protection of personal information;
- defines the roles and responsibilities regarding the protection of personal information at Soleno.

## 3. NORMATIVE FRAMEWORK

This Policy is governed by the *Act to modernize legislative provisions as regards the protection of personal information*.

## 4. DEFINITIONS

**Confidentiality incident** means access, use or disclosure not authorized by law of personal information, loss of personal information or any other breach of the protection of such information.

Here are a few examples:

- A person accesses personal information not needed to perform their duties.
- A hacker infiltrates a system.
- To impersonate another person, a person uses personal information from a database to which they have access as part of their duties.
- A communication is accidentally directed to the wrong individual.
- Documents containing personal information are lost or stolen.
- An intruder accesses a database containing personal information without authorization to alter its contents.

**Person concerned** refers to the natural person to whom the relevant personal information relates.

**Personal information** is any information that relates to a natural person and allows that person to be identified:

- directly, using this information alone; or
- indirectly, by combining the personal information with other information.

Personal information is sensitive when, because of its nature, particularly medical, biometric or otherwise intimate, or the context of its use or disclosure, it gives rise to a high reasonable expectation of privacy.

## 5. SCOPE

This Policy applies to:

- personal information held by Soleno;
- any person who handles personal information held by Soleno.

## 6. GUIDING PRINCIPLES

### 6.1. Handling of personal information

Personal information is protected throughout the life cycle of such data per the following principles, except as otherwise provided by law.

#### 6.1.1. Collection of personal information

Soleno collects only the personal information necessary to fulfill its mission and activities. Before collecting personal information, Soleno determines the purposes for which it is collected and only collects personal information strictly necessary for the purposes indicated.

#### 6.1.2. Use of personal information

Soleno only uses personal information for the purposes for which it was collected. However, Soleno may change these purposes if the person concerned gives their prior consent.

When expressly provided for by law or when the handling of information poses a greater risk to the persons concerned, Soleno conducts a privacy impact assessment to mitigate the risks identified.

Soleno has established and keeps up to date an inventory of its personal information files.

Soleno manages the access permissions of its employees and partners so that only those employees and partners who are subject to a confidentiality agreement and require access in the performance of their duties have access to the information.

#### 6.1.3. Disclosure of personal information



When personal information is transferred outside Québec or disclosed to third parties without the consent of the person concerned, Soleno conducts a privacy impact assessment. Disclosure to third parties is recorded in the appropriate register.

Soleno ensures that personal information transferred outside Québec is adequately protected, including under generally accepted privacy principles.

#### 6.1.4. Retention

Soleno takes all reasonable measures to ensure that the personal information it holds is up to date, accurate and complete so as to serve the purposes for which it is collected or used.

It retains personal information as long as required to carry out its activities, subject to the time limits defined in its retention schedule.

#### 6.1.5. Destruction and anonymization

Once the purposes for which the personal information was collected have been fulfilled, the information is destroyed or anonymized in accordance with Soleno's retention schedule.

### 6.2. Privacy impact assessments

Soleno carries out privacy impact assessments, especially in the following circumstances:

- before undertaking a project involving the acquisition, development or redesign of an information system or the electronic delivery of services involving personal information;
- before releasing personal information without the consent of the persons concerned to a person or body wishing to use this information for study, research or statistical purposes;
- before disclosing personal information without the consent of the persons concerned;
- before transferring personal information outside Québec.

Conducting a privacy impact assessment demonstrates that Soleno has complied with all privacy obligations and that all measures have been taken to protect personal information effectively.

### 6.3. Rights of the persons concerned

Persons concerned whose personal information is held by Soleno may exercise the following rights:

- the right of access to personal information held about them by Soleno and copies thereof, whether or not in electronic format;
- the right to request corrections to their personal information held by Soleno if the information is inaccurate or incomplete;
- the right to be informed, where applicable, that their personal information is being used to make a decision based on automated processing.

Any request in this respect will be processed per Soleno's procedures and within the statutory deadlines.

## **7. REPORTING A CONFIDENTIALITY INCIDENT**

All employees and third parties to whom Soleno discloses personal information, including suppliers, partners and subcontractors, must report any confidentiality incident involving personal information held by Soleno. Confidentiality incidents must be reported promptly by email to the following address: [renseignements.personnels@soleno.com](mailto:renseignements.personnels@soleno.com)

Any employee who has reasonable grounds to believe that a confidentiality incident involving personal information held by Soleno has occurred must also notify their supervisor without delay.

All employees and third parties to whom Soleno has disclosed personal information, including suppliers or partners and subcontractors, must cooperate in analyzing the incident.

## **8. REGISTER OF CONFIDENTIALITY INCIDENTS**

Soleno must keep a register of confidentiality incidents.

### **8.1. Contents of the register**

The register must include the following information:

- (a) a description of the personal information covered by the incident or, if that information is not known, the reasons why it is impossible to provide such a description;
- (b) a brief description of the circumstances of the incident;
- (c) the date or time period when the incident occurred or, if that is not known, the approximate time period;
- (d) the date or time period when Soleno became aware of the incident;
- (e) the number of persons concerned by the incident or, if that is not known, the approximate number;
- (f) a description of the elements that led Soleno to conclude whether or not there is a risk of serious injury to the persons concerned, such as the sensitivity of the personal information concerned, any possible ill-intentioned uses of such information, the anticipated consequences of its use and the likelihood that such information will be used for injurious purposes;
- (g) if the incident presents a risk of serious injury, the transmission dates of the notices to the Commission d'accès à l'information and the persons concerned, as well as an indication of whether Soleno issued public notices and, if applicable, its reasons for doing so;
- (h) a brief description of the measures taken by Soleno after the incident to reduce the risks of injury.

### **8.2. Retention period for information in the register**

The information in the registers must be kept up to date and retained for at least five (5) years after the date or time period when Soleno became aware of the incident.

## **9. ROLES AND RESPONSIBILITIES**

Any person who handles personal information held by Soleno must:

- act with care when handling personal information held by Soleno and respect the principles set out in this Policy in the performance of their duties;
- participate in awareness-raising and privacy training activities provided to them;
- report any breach, confidentiality incident or any other situation that presents privacy risks per Soleno's procedures.

## **10. SANCTIONS**

Any person who contravenes this Policy is liable to sanctions under the applicable normative framework.

## **11. UPDATES**

This Policy may be updated from time to time to address changes in the normative framework applicable to protecting personal information and improve Soleno's privacy program.

## **12. PERSONAL INFORMATION PROTECTION MANAGER**

Soleno's personal information protection policy is under the responsibility of Mr. François Pépin, Executive Vice President.

## **13. EFFECTIVE DATE**

This Policy comes into force on September, 22, 2023

