



## **Data Protection and Data Privacy Notice for Candidates of Shockwave Medical, Inc. and its Subsidiaries**

In the course of your job application with Shockwave Medical, Inc. or one of its subsidiaries, including those set forth on Exhibit A (collectively “**SWMI**” or “**we**”), we may be required from time to time to collect personal data about you in order to fulfill the application process and for our obligations in relation to your proposed employment relationship with SWMI and/or for other legitimate business reasons, including organizational and security purposes.

This Data Protection and Data Privacy Notice (this “**Notice**”) will inform you about the types of personal data we collect and how we use the data (“**processing**”). Please note that specific information as to the processing activities carried out in relation to your personal data in a specific jurisdiction may be included in Exhibit B, if applicable.

Please note that the collection and processing of your personal data is highly regulated by law, and SWMI will use your data only in compliance with the applicable legal frameworks.

For any questions about the collection and use of your personal data, please contact SWMI’s Data Protection Team at [privacy@shockwavemedical.com](mailto:privacy@shockwavemedical.com).

### **1. What personal data may be collected and processed?**

The following types of personal data may be collected, processed, and shared within SWMI and/or with third parties, to the extent (a) permitted by applicable law and (b) necessary and relevant for the purposes outlined below:

- General identification information, such as your name, address, phone number(s), e-mail address(es) and other contact details, including contact information at your current employer;
- Administrative and financial information, such as your proposed function, past compensation and proposed compensation details;
- Job related information and qualifications, such as previous job roles, education, awards, qualifications, certificates, licenses, financial relationships,
- Categories of personal data related to your marital status, country of birth or the country where you are a registered national or citizen, and any visa or other right to work;
- Special categories of personal data related to equal opportunities information in the US, such as ethnicity, religion, gender or sexual orientation;
- Health data (for public health or health and safety purposes; including results of health checkups before joining us, disease test results and vaccination status);
- Results of background screening, such as education verification and criminal records and driver’s license checks, if applicable;
- References, such as opinions and comments from prior employers;



- Travel-related information if required for arranging or reimbursing travel for an interview with us, including frequent flyer numbers, itineraries, flight, train, rental car, car service, hotel or other similar information; and
- Information provided to us in the process of your application or recruitment.

We collect personal data directly from you, and indirectly from your former employers (if they provide references), recruiting agents (if involved), background screening services providers, and those with whom you interviewed or otherwise interacted with during the application process.

We protect your personal data to a standard appropriate to the risk of processing the data, and we review our security measures periodically.

## **2. For which purposes may we collect and process your personal data?**

SWMI processes your personal data within the applicable legal frameworks for the following purposes:

- Personnel administration and proposed job role or employment contract, proposed salary and insurance and provision of proposed benefits;
- To open and maintain candidate records, to communicate with you regarding your interest in a job opportunity with us, your application for employment and updates on your candidacy, and to arrange for and reimburse for travel in connection with your interview(s) with SWMI;
- To assess your suitability for a position, conflict of interest reporting, for diversity monitoring where permitted by law, and to fulfill obligations to relevant government authorities;
- Maintaining business operations, such as managing technology and communication systems, and for security or the prevention, detection, or investigation of fraud, suspected or actual illegal activity, or other misconduct;
- Coordination and communication in emergency situations;
- To comply with applicable legal and regulatory requests and obligations (including investigations);
- To establish or defend legal claims and allegations; and
- Ensuring compliance with SWMI's policies and legal requirements.

We generally rely on contractual and/or legal processing grounds in the context of the recruiting process. We may also rely on legitimate interest processing grounds, such as managing our business activities and/or protecting our confidential information, investigating complaints, managing disputes or responding to regulatory enquiries or litigation requests.

For other purposes, we may use your personal data only if you have consented that we do so.

## **3. For how long will we store your personal data?**

Your personal data may be retained in physical and/or electronic files for as long as it is necessary to fulfil the legitimate purposes outlined above but at least for three years after the recruitment process



concluded. We choose to keep your personal data in case there is another opportunity in the future that may match your profile and interests.

#### **4. Who may have access to your personal data?**

Due to the global nature of our operations, your personal data may be accessed on a “need-to-know-basis” by:

- SWMI's Human Resources and other internal support functions, such as Finance, Information Technology, Communications, Internal Audit, Legal, Information Security and similar functions as well as your manager(s) in the context of your employment relationship;
- Colleagues within SWMI, who have involvement in the application process; and
- Third party service providers processing personal data on behalf of SWMI, such as IT, HR, Finance and Legal service providers or consultants.

“Need-to-know-basis” means access to personal data is granted only to the extent necessary for the fulfillment of the obligations of the respective function and/or provider. Before we disclose any personal data to other third parties, we will explicitly ask you for your consent to do so.

SWMI may also disclose your personal data to third parties for its or their legitimate interests in such manner as permitted by applicable laws. We may disclose your personal data in this regard to governmental authorities as required or permitted by law; social security or insurance agencies; in connection with business operations (e.g., mergers, acquisitions, business sales, divestitures, outsourcings or sales); to business partners, agents and customers; external consultants and professionals, bodies representing employees or courts.

Persons accessing your personal data may be located outside of the country in which you are located, including countries whose laws may not provide the same level of data protection as California (U.S.) or the European Economic Area or the UK. For these cases, SWMI has established contractual arrangements and security safeguards within SWMI and with third parties to ensure an adequate level of data protection at least as required by applicable laws. For EU data transfers, these arrangements include the standard contractual clauses in the form approved by the European Commission and/or applicable supervisory authorities. The UK data transfers are subject to different transfer clauses to the EU clauses and SWMI has in place these UK transfer clauses. For questions regarding such safeguards, you may contact SWMI's Data Protection Team at [privacy@shockwavemedical.com](mailto:privacy@shockwavemedical.com).

#### **5. What rights do you have in relation to your personal data?**

Regarding the processing of your personal data, applicable laws may provide you with a number of rights, depending upon where you reside. Provided that the relevant legal requirements are met, you may:

- Request information about what kind of personal data is collected and for which purposes it is used;
- Request correction, completion or erasure of your personal data;



- Request restriction or object to the processing of your personal data and ask SWMI not to further process your personal data, if you have a legitimate reason for doing so and where we do not need such data for the purposes described in this Notice;
- Request to review decisions made through automatic processing of your personal data, if any, in case you are significantly affected by such decisions;
- Request to obtain a data portability extract (if technically feasible); and
- Contact the local data protection supervisory authority to make a complaint.

The right to make the above requests is not recognized everywhere under the law; SWMI reserves the right not to respond to requests if not required by law. In each particular case, we will inform you of the consequences of your request and if there are any exemptions to honoring your requests based on SWMI's legal or contractual obligations. In order to exercise your rights or for any questions you may have, please contact SWMI's Data Protection Team at [privacy@shockwavemedical.com](mailto:privacy@shockwavemedical.com).

## **6. What do we do in the event of a security breach?**

If SWMI learns of a security breach that affects your personal data and that may put you at risk, we will notify you as soon as we have the appropriate information in order to provide you with direction on protective steps. We will use the contact information we have on file to reach out to you.



## **EXHIBIT A**

### **SWMI Subsidiaries**

Shockwave Medical Japan KK

ShockWave Medical GmbH (including branches in Austria, Belgium, Spain, and Switzerland)

Shockwave Medical France SaRL

Shockwave Medical UK Limited

Shockwave Medical India

Shockwave Medical Ireland

SWAV CR SRL

Shockwave Medical Canada Inc.

Shockwave Medical Italy



## **Exhibit B - Information Notice for Processing the Personal Data of French Employees**

Shockwave Medical France (“we” or “us” or “our”) pays great attention to the protection of your personal information and your privacy.

This information notice describes how we process personal information about you during and after your working relationship with us, in accordance with the General Data Protection Regulation (“GDPR”) as well as the relevant legislation that might supplement or substitute GDPR and applies to all employees. More specifically, this notice contains all information specific to data processing activities carried out in France, by derogation to the provisions of our global Data Protection and Data Privacy Notice for Employees (the “**Group Data Protection Notice**”). For general information that is not only applicable in France, please refer to our Group Data Protection Notice for more details.

### **1) Who is the controller of your personal information?**

The controller of your personal information is Shockwave Medical France, French *société à responsabilité limitée*, registered with the Nanterre Trade and Companies Register under No. 893 235 952 and whose headquarters is located at 101 rue Jean Jaurès 92300 Levallois-Perret. This means that we are responsible for deciding how we hold and use your personal information.

### **2) What personal information do we collect about you and for which purposes?**

By derogation to the provisions of the Group Data Protection Notice, the processing activities concerning the employees of Shockwave Medical France and carried out under its responsibility are expressly listed in the table in Annex I of this information notice. For each of these processing activities, the table mentions the categories of data that are processed, the purpose of the processing activity, the legal basis on which the processing activity is based, the recipients and possible transfers of your data outside the European Union and the retention period of these data.

Please note that the processing activities mentioned in our Group Data Protection Notice that are not included in the table in Annex I of this notice are not carried out for residents of France.

We only collect personal information that are strictly necessary for us to pursue the purposes mentioned in Annex 1. Therefore, the communication of your personal information is essential for us to achieve such purposes and your failure to provide such information is likely to render us unable to perform the contract we have entered into with you (such as paying you or providing a benefit), or comply with our legal obligations (such as to ensure the health and safety of our workers).

### **3) Which rights do you have?**

In addition to the rights mentioned in our Group Data Protection Notice, you have a right to define guidelines regarding what happens to your data after your death which allows you to indicate your instructions concerning your personal data and how they shall be kept, deleted and communicated after your death. You can exercise your rights by submitting your request to the address given in the “Contact Us” section. You should indicate which right you wish to exercise as well as all necessary information in order to enable us to respond to your request.



### **Contact us**

If you have any questions about this information notice and how we handle your personal information or if you want to exercise your legal rights, you can contact us at [privacy@shockwavemedical.com](mailto:privacy@shockwavemedical.com).

If you are of the opinion that the processing of your personal information is unlawful, you have the right to lodge a complaint with the French Data Protection Authority (the “**CNIL**”) but we would appreciate if you gave us the opportunity to handle your complaint internally before contacting the CNIL ([www.cnil.fr](http://www.cnil.fr)).



ANNEX I – Data processing table

Purpose	Legal basis	Data collected	Retention period	Data recipient(s)	Transfer outside EEA (and related safeguards)
<b>Recruitment</b>	Legitimate interest of Shockwave Medical to collect and analyze the profile of people it intends to hire (Art. 6, 1.f. GDPR)	Personal data included in the resume (e.g, first name, last name, telephone number, email address, education, work experiences...) If applicable: nationality, residence permit or work permit	2 years from the last contact with the person concerned	<b><u>Within Shockwave Medical (US):</u></b> HR department, department which is willing to hire a new employee	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Management and performance of the employment contract</b>	Performance of a contract (Art 6,1, b GDPR)	First name, last name address, date of birth, place of birth, position, nationality, social security number, contractual information, remuneration	5 years after termination of the employment contract	<b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee; Finance; Legal  <b><u>Outside Shockwave Medical:</u></b> Outside counsel (if necessary)	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Proceeding with the declaration prior to hiring to the French administration (URSSAF)</b>	Legal obligation (Art 6,1,c GDPR)	First name, last name, social security number, date of birth, place of birth, gender, contractual information (including starting date, and possible end date of the contract) occupational health center to which the employee is attached	6 years after termination of the employment contract	<b><u>Within Shockwave Medical (US):</u></b> HR department; Finance, Legal  <b><u>Outside Shockwave Medical:</u></b> Social authorities	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Management of annual leaves, days-off, rest periods</b>	Performance of a contract (Art. 6.1b GDPR)	Last name, first name, dates of absence, nature of absence (i.e. annual leaves, days-off, RTT...)	5 years after termination of the employment contract	<b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee; Finance	Data may be transferred to the United States with standard legal and contractual protections in place.





<b>Management of sickness leaves</b>	Carrying out the obligations and exercising specific rights of the controller in the field of employment and social security and social protection law (Art 9,2, b GDPR)	First name, last name, social security number, address, personal telephone number, e-mail, dates of sick leave, state of health (i.e. part 3 of the French sick leave paperwork), if applicable, information from the hospitalization bulletin (and in particular the duration of the stay)	5 years after termination of the employment contract	<p><b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee; Finance</p> <p><b><u>Outside Shockwave Medical:</u></b> Social authorities</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Management of parental/paternity/ maternity leaves</b>	Legal obligation (Art 6,1,c GDPR)	First name, last name, social security number, address, nature of the leave (maternity, paternity, parental), information from the child's birth certificate, dates of the leave	5 years after termination of the employment contract	<p><b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee; Finance</p> <p><b><u>Outside Shockwave Medical:</u></b> Social authorities, insurance company (if applicable)</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Management of work-related accident and professional diseases</b>	Carrying out the obligations and exercising specific rights of the controller in the field of employment and social security and social protection law (Art 9,2, b GDPR)	First name, last name, gender, date of birth, place of birth, address, contractual information, date, type, conditions and consequences of the accident, signature	5 years after termination of the employment contract	<p><b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee; Legal (if necessary)</p> <p><b><u>Outside Shockwave Medical:</u></b> Social authorities</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Management of professional medical checks</b>	Carrying out the obligations and exercising specific rights of the controller in the	First name, last name, address, function, contractual information (starting date, and possible end date of the contract), social	5 years after termination of the employment contract	<b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee	Data may be transferred to the United States with standard legal and



	field of employment and social security and social protection law (Art 9,2,b GDPR)	security number, date of birth, health status (i.e. fit for work or not) date of last visit.		<b><u>Outside Shockwave Medical:</u></b> Social authorities	contractual protections in place.
<b>Education and training</b>	Legal obligation (Art 6,1,c GDPR)	First name, last name, information regarding training (content, type, date)	5 years after termination of the employment contract	<b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee, Compliance team (for compliance training)  <b><u>Outside Shockwave Medical:</u></b> Third party providing access to the training platform; External training companies (If applicable)	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Performance and evaluation interview</b>	Legal obligation (Art 6,1,c GDPR)	Last name, first name, position, identification of manager, evaluation	5 years after termination of the employment contract	<b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Management of payroll</b>	Performance of a contract (Art. 6.1b GDPR)	First name, last name, address, date of birth, place of birth, all data on the payslip including position, qualification, nationality, social security number, contractual information (nature of the contract, start date, end date...), amount due to be paid, bank details	5 years after termination of the employment contract	<b><u>Within Shockwave Medical (US):</u></b> HR department; Finance  <b><u>Outside Shockwave Medical:</u></b> Social authorities, insurance companies	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Expenses reimbursement</b>	Performance of a contract (Art. 6.1b GDPR)	First name, last name, nature and information of the expense (including information on the invoice), bank details	10 years as from the end of the fiscal year during which the expense was made	<b><u>Within Shockwave Medical (US):</u></b> HR department; Finance	Data may be transferred to the United States with standard legal and contractual protections in place.



<b>Planning business travel &amp; International mobility</b>	Performance of a contract (Art. 6.1b GDPR)	Information on the passport/ID; information about the travel (nature, purpose, dates, location), data necessary for any administrative procedures required depending on the country of destination (visa, immigration documents).	5 years after termination of the employment contract	<p><b><u>Within Shockwave Medical (US):</u></b> Finance</p> <p><b><u>Outside Shockwave Medical:</u></b> Third party provider of the platform for the management of travel expenses</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Management of complementary health and contingency insurance</b>	Legal obligation (Art 6,1,c GDPR)	<p>First name, last name, address, date of birth, remuneration, place of birth, department, personal email address, nationality, social security number, contractual information, number of children, bank details, marital status</p> <p>Including information on third party beneficiaries</p>	<p>5 years after termination of the employment contract</p> <p>Related accounting documents are kept for 10 years as from the end of the fiscal year during which they were issued</p>	<p><b><u>Within Shockwave Medical (US):</u></b> HR department; Finance</p> <p><b><u>Outside Shockwave Medical:</u></b> Insurance companies</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Management of the Staff record</b>	Legal obligation (Art 6,1,c GDPR)	First name, last name, date of birth, gender, nationality, position, place of work, qualifications, date of entry and exit from the company, type of contract, if applicable type and number of the residence permit/work permit	Information about each employee are kept during 5 years after the employee has left the company	<p><b><u>Within Shockwave Medical (US):</u></b> HR department, Finance</p> <p><b><u>Outside Shockwave Medical:</u></b> Labor inspection (when relevant)</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Keeping an address book of the company</b>	Legitimate interest of Shockwave Medical to centralize the contact information of all its workers(Art. 6, 1. F GDPR)	First name, last name, e-mail address	During the employment contract	<p><b><u>Within Shockwave Medical (US):</u></b> All workers</p>	Data may be transferred to the United States with standard legal and contractual protections in place.



<b>Payment of employees' taxes ("impôt à la source")</b>	Legal obligation (Art 6,1,c GDPR)	First name, last name, personalized rate	6 years	<p><b><u>Within Shockwave Medical (US):</u></b> HR department; Finance</p> <p><b><u>Outside Shockwave Medical:</u></b> tax administration</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Mandatory social security declarations</b>	Legal obligation (Art 6,1,c GDPR)	Last name, first name, address, position, social security number, date of arrival within the company and date of leaving the company, status, coefficient/level, remuneration, working hours scheme plan , information relating to the health insurance.	10 years as from the end of the fiscal year during which the declaration was made	<p><b><u>Within Shockwave Medical (US):</u></b> HR department; Finance</p> <p><b><u>Outside Shockwave Medical:</u></b> social authorities</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>User account administration (creation and management of the employee's account for the use of company tools)</b>	Performance of a contract (Art. 6.1b GDPR)	First name, last name, job title, start date	5 years after termination of the employment contract	<b><u>Within Shockwave Medical (US):</u></b> IT department	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>IT Systems monitoring</b>	Legitimate interest of Shockwave Medical to monitor the use of its system to prevent any risk of intrusion and/or alteration and/or leakage of sensitive information (Art 6.1.f RGPD)		6 months	<b><u>Within Shockwave Medical (US):</u></b> IT department	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Help desk (through e-mail)</b>	Performance of a contract (Art. 6.1b GDPR)	First name, last name, e-mail address, content of the request	5 years after termination of the employment contract	<b><u>Within Shockwave Medical (US):</u></b> IT department	Data may be transferred to the United States with standard legal and contractual protections in place.



<b>Disciplinary proceedings</b>	Performance of a contract (Art. 6.1b GDPR)	First name, last name, address, function, Contractual information (starting date, and possible end date of the contract), sanction, grounds for the sanction	5 years after termination of the employment contract	<p><b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee; legal</p> <p><b><u>Outside Shockwave Medical:</u></b> Outside counsel</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Termination of the employment contract</b>	Performance of a contract (Art. 6.1b GDPR)	First name, last name, date of birth, place of birth, nationality, social security number, address, telephone number, e-mail, reason and nature of the termination, contractual information (remuneration, status, qualification, pension, position, place of work, nature of the employment contract, remuneration received for the last 12 months, bonuses received...)	5 years after termination of the employment contract	<p><b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee; legal</p> <p><b><u>Outside Shockwave Medical:</u></b> Social authorities (if applicable) ; insurance company (if applicable); Pole emploi (if applicable); outside counsel (if necessary)</p>	Data may be transferred to the United States with standard legal and contractual protections in place.
<b>Dispute/Litigation</b>	Legitimate interest of Shockwave Medical to manage possible litigation with employees	Identification data of the employee (First name, last name, date of birth, place of birth, gender...) contractual information, information related to the content and procedure of the dispute	<p>&gt; Pre-litigation data are retained until the expiration of the statute of limitations applicable to the action</p> <p>&gt; Litigation data retained until a final decision is obtained and enforced, or for 10 years from the date of the decision if not enforced.</p>	<p><b><u>Within Shockwave Medical (US):</u></b> HR department; manager(s) of the employee; legal</p> <p><b><u>Outside Shockwave Medical:</u></b> Outside counsel</p>	Data may be transferred to the United States with standard legal and contractual protections in place.