

SHOCKWAVE MEDICAL, INC. (the “Company”)  
 California Consumer Privacy Act Disclosure  
 Effective: January 1, 2021

This Shockwave Medical, Inc. California Consumer Privacy Act Disclosure (“Workforce CCPA Disclosure”) supplements the information contained in the Shockwave Medical Privacy Policy and applies solely to California residents.

It explains how Shockwave Medical and its U.S. affiliates (collectively, “we,” “us,” or “our”) collect and use personal information in the context of a person’s role as a job applicant, employee, associate, contractor, or other member of the Shockwave Medical workforce (“Workforce Member”).

**What Personal Information Is Covered by the CCPA?**

Under the CCPA, “personal information” is information that identifies, relates to, describes, is reasonably capable of being associated with, or could reasonably be linked, directly or indirectly, with a particular California resident or household. The CCPA does not apply to certain information, such as information subject to the Health Insurance Portability and Accountability Act (HIPAA) and certain other state or federal privacy laws. This Workforce CCPA Disclosure also does not apply to information that we collect in connection with non-Workforce Members. For more information about how we collect, use, and disclose personal information about non-Workforce Members, please visit <https://shockwavemedical.com/privacy-policy/>

**Categories of Personal Information We Collect**

We collect the following categories of personal information, as defined in the CCPA, relating to Workforce Members who are California residents:

Category of Personal Information	How we use it
<b>Contact and identification information:</b> such as your name, home and work address, personal and work telephone numbers, personal and work email addresses, photo, physical description, and signature.	We will use this information to open and maintain your employee records, confirm your identity, communicate with you for internal business purposes or emergencies, maintain an internal employee directory and grant you access to internal systems.
<b>Job-related information and qualifications:</b> such as position applied for, previous job roles, education, awards, qualifications, certificates, licenses, financial relationships, compensation and salary information, eligibility for and participation in benefit schemes and award programs, and any other information you choose to provide in your resumes and/or applications as well as work anniversary information and skills and experience over the employment period.	We will use this information to assess your personal and professional development, your suitability for promotions, benefits and other awards, job moves and staff restructuring, conflict of interest reporting, and to fulfill our obligations to regulators (including demonstrating the suitability of employees for their role).
<b>National identification information:</b> such as your country of birth or the country where you are a registered national or citizen, and any visa or other right to work.	We will use this information to determine your eligibility to work and fulfill our obligations to relevant government authorities.
<b>Age and benefits information:</b> including your date of birth, social security number, marital status, information about your pension and other welfare benefits, insurance policy information.	We will use this to maintain employment records and assess your eligibility for and/or pay you any statutory or other benefits to which you may be entitled.

Category of Personal Information	How we use it
<b>Health and disability records:</b> such as information relating to any disability or health condition that is relevant to your role, including the results of any pre- or post-employment physical or screening examination, and physical characteristics.	We will use this information to address our legal obligations to you, make any adjustments required to assist you in the performance of your role and determine whether you are fit to undertake tasks required by your job role.
<b>Beneficiaries, dependents and emergency contact information:</b> information about any beneficiaries, dependents, emergency contacts and next of kin.	We will use this information to maintain your employment records and contact the designated contacts in the case of an emergency.
<b>Financial Information:</b> such as your bank account details.	We will use this information to pay you or provide other benefits and process any expense claims.
<b>Travel-related records:</b> frequent flyer numbers, itineraries, flight, train, rental car, car service, hotel or other similar information.	We will use this information to arrange or reimburse travel, contact you during travel, as necessary with travel service providers, or in an emergency situation.
<b>Professional memberships:</b> information about your membership in professional bodies and consultation bodies, including trade unions.	We will use this to assess your personal and professional development and perform our legal obligations in relation to your professional or trade membership.
<b>Results of background checks and screening:</b> such as education verification, criminal records and driver's license checks.	We will use this to determine your suitability for certain job roles (to the extent permitted or required by law) and determine your eligibility for certain benefits (such as a company car).
<b>References:</b> such as opinions and comments of any previous employers.	We will use this to determine your suitability for certain job roles and to fulfill our obligations to regulators (including demonstrating the suitability of employees for their role to regulators and professional bodies).
<b>Salary and benefits information:</b> salary details, bonus payments, pension details, medical insurance, share scheme details, company car scheme details.	We will use this information to allocate resources and process payments of benefits, salary and any other amounts we owe you.
<b>Performance and development records:</b> training records, records of courses and training undertaken, performance reviews and assessments.	We will use this information for career planning and skills monitoring, assessing your suitability for promotions, job moves, and staff restructuring, providing references for future applications and fulfill our obligations to regulators (including demonstrating the suitability of employees for their role to regulators and professional bodies).
<b>Disciplinary, capability and conduct records:</b> details of warnings and other records relating to conduct.	We will use this information for assessing and taking action in relation to disciplinary, capability, grievance and conduct issues, maintaining your employment records, monitoring and improving our human resources procedures and processing and fulfilling our obligations to regulators.
<b>Absence records:</b> records relating to time away from the office, including vacation, illness and paternity/maternity leave.	We will use this information to monitor absences and sickness, make decisions relating to human resource allocation, salary and benefit changes and address other issues that may arise from absences.

<b>Category of Personal Information</b>	<b>How we use it</b>
<b>Health and safety records:</b> information relating to health and safety in the workplace, accidents and near misses.	We will use this to address our legal obligations to you in relation to health and safety in the workplace.
<b>Information we obtain from monitoring:</b> such as records of your use of our computer systems or the Internet, and recordings from surveillance cameras on our business premises.	We will use this to monitor your compliance with our internal policies and procedures, to investigate security breaches and misuse of computer equipment and systems, to protect the safety of employees and third parties, and to protect our property from theft, vandalism and damage.
<b>Equal opportunities monitoring information:</b> such as your ethnicity, religion, gender and sexual orientation.	We will use this to conduct equal opportunity and diversity monitoring where permitted or required by law.
<b>Information regarding your phone or mobile device:</b> such as your mobile phone number and mobile phone or device billing and usage records.	We will use this, in accordance with applicable policies, to reimburse you for use of your mobile phone or device for employment-related purposes.
<b>Biometric information:</b> such as facial recognition, fingerprint or hand punch/hand-geometry data collected by a biometric time clock.	We will use this to monitor and record your hours of work.

We collect personal information relating to Workforce Members who are California residents in a variety of contexts, including in connection with applications for employment, Human Resource activities, marketing activities, our websites, and mobile applications. The categories of personal information that we collect and use about a California resident will depend on our specific relationship or interaction with that individual, and the examples provided in each category above are for illustrative purposes only.

#### **Purposes for which We Use Personal Information**

We may use personal information relating to Workforce Members who are California residents for one or more of the following business purposes:

- Evaluating employment applications and employee performance
- Providing and maintaining our Workforce Member related services
- Conducting background checks
- Protecting against security risks
- Advertising and marketing
- Conducting research and data analysis
- Maintaining our facilities, systems, and infrastructure
- Improving our Workforce Member related services
- Carrying out our legal and business purposes, such as complying with federal, state, or local laws, responding to civil, criminal, or regulatory lawsuits or investigations, exercising our rights or defending against legal claims, resolving complaints and disputes, performing compliance activities, performing institutional risk control, and otherwise operating, managing, and maintaining our business
- As otherwise disclosed to you at or before the point of collecting your personal information

We may also use personal information relating to California residents for one or more of the specific “business purposes” listed in the CCPA:

- Auditing related to a Workforce Member
- Detecting security incidents, protecting against malicious, deceptive, fraudulent, or illegal activity, and prosecuting those responsible for that activity
- Performing services on behalf of Shockwave Medical or its service providers, including maintaining or servicing Workforce Member’s accounts, providing Workforce Members service, processing or fulfilling orders and transactions, verifying Workforce Members’ information, processing payments, providing financing, providing advertising or marketing services, providing analytic services, or providing similar services on behalf of Shockwave Medical or its service providers

#### **Changes to This Workforce CCPA Disclosure**

We may change or update this Workforce CCPA Disclosure in the future. When we do, we will post the revised Workforce CCPA Disclosure on our website. This Workforce CCPA Disclosure was last updated and became effective on the date posted at the top of this page.