

Macmillan's CCPA Policy

About the California Consumer Privacy Act

The California Consumer Privacy Act (CCPA)

The CCPA is a California state law that will take effect on January 1, 2020. The CCPA regulates businesses such as Macmillan that collect personal information from California residents. It requires companies to provide detailed privacy notices to California residents and to respect their rights to access and delete their information. It also requires companies to honor requests from consumers to opt-out of having their information sold to third parties.

Understanding "Personal Information" under the CCPA

The CCPA broadly defines personal information as "any information that identifies, relates to, describes, is capable of being associated with or could reasonably be linked with a particular consumer or household." This includes all data elements in the following categories of personal information:

- Contact information
- Unique identifiers
- Relationship information
- Inferred or derived information
- Transaction information
- Online and technical information
- Audio-visual and olfactory information
- Financial information
- Health information
- Internet of Things (IoT) and sensor data
- Biometric identifiers and genetic data
- Geolocation data
- Children's data
- Compliance data

As you can see from the Macmillan Trade Privacy Notice (<https://us.macmillan.com/privacy-notice>), we only collect a limited amount of consumer information. We collect an email address when a person signs up for newsletters or enters a contest, sweepstakes or giveaway. For most individuals, this will be all the information we maintain. However, we have some additional information for individuals that interact with us on social media or at trade shows or that have purchased products from us directly or won a large prize. We only collect sensitive data when we strictly need it, such as for payment processing or to comply with tax laws¹. For Macmillan Learning, as you can see from the Macmillan Learning Privacy Notice (<https://store.macmillanlearning.com/us/privacy-notice>), we collect consumer information in connection with the use of our products and services, our online store transactions, when a person signs up for marketing or enters a contest, sweepstakes or giveaway. There is no sharing of consumer information between Trade and Macmillan Learning.

The CCPA's "Right to Know"

The CCPA requires us to provide California consumers with privacy notices at or before the point of collection. The notices must describe the categories of personal information the business collects and the purposes for which the information will be used. The Macmillan Privacy Notice contains these disclosures in the CCPA Supplement. This is posted on our websites.

Upon request, companies must also inform consumers about the source(s) of the personal information and the categories of 3rd parties with whom personal information is shared. We have included this information in our CCPA Supplement to our Privacy Notices.

Additionally, upon request, CCPA provides that we must inform consumers of the specific pieces of personal information that we collected about them during the 12 months prior to their request. California residents can submit these access requests to us via our website forms or our call centers. Macmillan Trade and Macmillan Learning each have their own response systems to receive and respond to these requests.

The CCPA's "Right to Say No"

The CCPA requires businesses that sell personal information to provide consumers with an opt-out of having the information sold by implementing a "Do Not Sell" button on its websites. For consumers that are under 16, an opt-in to the sale must be provided. A "sale" is defined under CCPA in a much broader sense than a traditional sale. A "sale" under CCPA occurs when we provide a third party with personal information in exchange for monetary or other valuable consideration. The "other valuable consideration" includes if we let our vendors use the personal information for their

¹ For Macmillan Learning, it also collects sensitive data in connection with its product/services, such as Skyfactor's survey of students conducted on behalf of the school, wherein the school includes sensitive data questions.

own commercial purposes outside of providing the service to us. Macmillan is not in the business of selling personal information! Because we do not sell email addresses or other consumer information, we do not offer an “Do Not Sell” option. However, our websites do use third party cookies, which may involve an exchange of personal information for other valuable consideration. Our Privacy Notice contains a list of all of our third party cookies on our sites with instructions on how consumers can opt-out of those cookies

Other CCPA Rights

The CCPA also provides the following rights:

- Deletion. California residents can submit deletion requests to us via our websites or call centers. Unless an exception applies, we will respect these requests.
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- Right to Be Free from Discrimination. Businesses may not charge different prices or rates, provide different services, or deny goods or services to consumers who exercise their rights under the CCPA. Companies may, however, provide incentives to people, such as offering discounts to consumers who sign up for email lists.

The CCPA contains specific compliance standards that companies must follow with respect to all the individual rights, including required timeframes for responding to California consumer requests. In general, we need to respond to access and deletion requests within 45 days, although we can extend this up to 90 days in some case.

CCPA Policy Statements for Individual Rights

1. Macmillan respects the rights of California residents to exercise their rights under the CCPA. Macmillan will not discriminate against individuals who exercise their rights.
2. Macmillan will provide all verified California consumers with the ability to access their personal information as required by CCPA, subject to the exceptions provided in the law. In particular:
 - Upon request, Macmillan will provide consumers with information on the categories of personal information that it collects, along with information on the sources from which the information is collected, the purposes for which the information is used and shared, and the categories of third parties to whom we disclose the information.
 - Upon request, Macmillan will provide consumers, whose identities have been appropriately verified, with the specific pieces of information that it has collected during the past 12 months. (We may provide data elements that were collected more than 12 months ago if we are not easily able to limit the look-back period to 12 months or if we are unable to determine when the data element was collected.) Detailed procedures for responding to requests are set forth on Annex 1 below.
 - For verification: Macmillan will not disclose specific pieces of information to any consumer whose identity has not been verified. In most cases, individuals can self-authenticate by demonstrating that they have access to the email address associated with their personal information.
 - Macmillan will never disclose sensitive data elements, such as Social Security numbers, financial account numbers or payment card numbers, or similar data in response to access requests. While we will indicate that we have collected such data elements, for security reasons, we will not provide the specific pieces of information.
 - Macmillan will not disclose information about any consumer to another person, unless that person has been designated as the consumer’s authorized agent. *Exceptions to this rule may be granted by the Privacy Office or the Legal Department for situations where a parent is seeking access to a child’s information or in other situations where authority to access the information is demonstrated through other legal instruments.*
3. Macmillan will provide California consumers with the ability to have their personal information deleted, subject to the exceptions provided in the CCPA. In general, Macmillan will delete marketing and relationship data. We will not delete transaction records, including purchase history and records relating to contests, sweepstakes and giveaways, as needed for our internal business purposes. We will also retain copies of records needed for security, fraud prevention and legal compliance, including records related to our handling of privacy requests.
4. While CCPA does not establish access or deletion rights for employees and contingent workers until January 1, 2021, Macmillan is committed to respecting the privacy rights of our employees and contracted staff. We provide

<https://e22.ultipro.com/Login.aspx> to facilitate worker managing of their information. Macmillan employees, and our contracted staff can contact the HR department for assistance.

5. Individuals whose data are processed by Macmillan (as a service provider to other companies or institutions, such as schools) should contact the other company or institution who is responsible for that data to exercise their rights. Macmillan will work with the other company or institution to identify and provide records as needed and instructed by the other company or institution to respond to the request.
6. If you add or allow any third party to drop a cookie or other tracking device on any of our sites, it's important to make sure you notify Macmillan Legal, dataprivacy@macmillan.com so that the cookie and opt-out can be added to our Privacy Notice. For any website pages that are targeting under 16 year old users, or that you have reason to believe attracts under 16 year olds users, make sure that there are no third party cookies that can trigger a CCPA sale on those pages. It is also important not to intentionally or inadvertently trigger a CCPA "sale" of personal information by allowing a third party, like a vendor to use the personal information for its own purposes. If you do, Macmillan has to provide the consumer with an opt-out of the sale or an opt-in to the sale for under 16 year olds. It is crucial that all agreements involving personal information, including click-through agreements, are read in full by legal. Contact Macmillan Legal: dataprivacy@macmillan.com if you have any questions or concerns about triggering a sale under CCPA.
7. Individuals will not be charged any fee for making reasonable requests.
8. Macmillan may deny requests that are frivolous or harassing, such as repeated access requests over a short period of time.
9. For questions about individual rights, please contact the Privacy Office (dataprivacy@Macmillan.com).

Annex 1 - Detailed Procedures For Responding to Data Access and Deletion Requests

All employees should immediately forward any individual rights requests or other queries they receive that relate in any way to privacy or personal information to the Macmillan Privacy Office (dataprivacy@Macmillan.com).

Individual Rights' Requests – General Request Handling Procedures

Consumers may initiate a CCPA Individual Rights Request by (1) completing a CCPA Request Form online or (2) calling Macmillan's CCPA call center. In each case, the individual will be asked to provide:

- Their name (which is used for matching and personalization of the report)
- Their email address (which is used for matching and delivery of the report)
- Their zip code (which is used to verify that the person is a California resident) – only individuals whose zip code is within the range 90001-96162 are California residents

Consumers who are not California residents generally do not have rights under CCPA. While Macmillan aspires to respect access rights for all US residents, the uncertainty of the CCPA compliance burden has led us to initially limit processing of access and deletion requests to individuals subject to CCPA. *The Privacy Office may allow exceptions to this policy.*

Additionally, if a consumer prefers to have the access report mailed to them, the consumer may provide Macmillan with a mailing address. The consumer will be asked to verify their identity by providing Macmillan with a verification code sent to the requester's email address.

The CCPA Compliance Team (handled by IT) is responsible for all aspects of request intake and verification. Once a request has been properly submitted, the CCPA Compliance Team will forward that request to the designated Privacy Stewards within the Macmillan business units listed below under the Macmillan Privacy Steward heading. The Privacy Stewards will search the relevant databases for personal information and provide a response back to the Compliance Team within ten (10) business days, using the PI Access Request Form that the Compliance Team provided.

If a Privacy Steward does not provide a response within ten (10) days, the Compliance Team will follow-up with the Privacy Steward. Privacy Stewards are encouraged to contact the Compliance Team as soon as they realize that they cannot meet a deadline. If the Compliance Team believes that it will be unable to provide a report back to the consumer within 45 days (as mandated by CCPA), it will notify the consumer of the delay, request a 45 day extension, and ensure that the report is provided before the expiration of the second 45 day period.

Once the reports have been received from all the applicable Privacy Stewards, the Compliance Team will combine the reports into the response form (see Annex 2), verify that the form does not contain any inappropriate information, such as a social security number, and transmit it to the individual via email. Copies of the forms (and related data, such as date sent) are maintained by the Compliance Team for a minimum of 5 years.

Procedure for Processing "Right to Know" Access Requests

Consumer requests are processed by the Privacy Stewards designated by each business unit that maintain consumer records. The Privacy Office maintain a list of these individuals. Privacy Stewards may delegate tasks to others with the business (such as admins), but each Privacy Steward remains fully responsible for the fulfillment of the requests as required by this procedure.

Upon receipt of an access request from the Compliance Team, the Privacy Steward will:

- Document that the request has been received and the date of receipt.
- Determine what records (if any) are maintained about the person, linked to the email address provided by the requester taking to account the nature of the relationship.
- Query appropriate others to determine if any copies of such records may be maintained by others.
- Compile the responsive records into the report form for the person, redacting any information that may impact the privacy of other people.

- Return the report to the Compliance Team within 10 days. If the Privacy Steward cannot provide the report within the 10-day time period, they should contact the Compliance Team, explain the reason for the delay and provide a good faith estimate of when the report will be ready.
- Document the databases and systems searched to create the report. This documentation must be maintained for a minimum of 5 years.

Procedure for Processing Deletion Requests

If the Compliance Team indicates that the individual has requested deletion, the following additional steps apply:

- The Privacy Steward will first create an access report (as described above) to determine what personal information Macmillan maintains about the person. *Exception – if the deletion request is specific to a particular category of data or system, the functional team can create an access report that is limited to align with the request. For example, a request to “delete me from your marketing databases” can be processed by simply identifying those systems which contain PI used for marketing.*
- Once the function has a complete list of the data that may be in scope for the deletion request, it must determine what data (if any) are subject to deletion. Macmillan must delete:
 - All records outside of their defined retention periods (unless subject to a legal hold);
 - All duplicate records (including records in secondary storage locations, such as file shares, development or test environments, and other non-production systems);
 - All records that are maintained based on the person’s consent; and
 - All records where Macmillan’s interest in retaining the data are outweighed by the individual’s privacy rights, including (for example) marketing records (other than data in suppression or opt-out files).

There is a presumption that Macmillan will not delete:

- Transaction records related to product and services delivered (including customer service call records) in production systems (and other systems of record) within the defined retention periods;
- All records retained for security, product safety, finance/tax, legal compliance and similar purposes, within the defined retention period;
- All records related to handling privacy requests (including opt-out records and records related to Macmillan’s response to individual rights requests; and
- All data subject to a legal hold.
- Any data that is not linked to a verified requester.

Additionally, Macmillan will not delete data that are maintained in archive or back-up storage, provided that (1) access to the data are limited to the administrator(s) of the archive/back-up and (2) the data are not actively processed by Macmillan. (Macmillan would apply the deletion request to the data if that files are restored and available for active processing.)

- The Privacy Steward will inform the Compliance Team which data elements have been deleted and which have not (along with the rationale for the retention). The Compliance Team will communicate the company’s response to the individual.

Reporting and Recordkeeping

- Each function will maintain records regarding the individual rights requests received and processed as noted above. These records must be sufficient to demonstrate compliance with the obligations in Macmillan’s policies. These records will be available to the Privacy Office, internal and external auditors and appropriate supervisory authorities if requested.
- The Privacy Office will inform the executive team of any issues related to Macmillan’s ability to respond to individual rights requests that may create undue risk for the company.

Macmillan Privacy Stewards

For Macmillan Trade

Tor.com: Fritz Foy
Swoonreads.com: Lauren Scobell
Criminalelement.com: Joseph Brosnan
Henry Holt: Jason Liebman
Farrar, Straus & Giroux: Daniel Del Valle
Macmillan Audio: Samantha Edelson
MCPG: Mariel Dawson
Celadon: Jennifer Jackson
Flatiron: Nancy Trypuc
SMP: Stephen Erickson

For Macmillan Learning

Privacy Steward: Stephen Davis

Annex 2:

I. DATA ACCESS RESPONSE REPORT

II. [INSERT CURRENT DATE]

III. DATA REQUEST #[INSERT REQUEST #XXXXX] – [INSERT DATE OF RECEIPT OF REQUEST MM/DD/YYYY]

[Insert Email Address of requester]

Thank you for contacting Macmillan and requesting information about the personal information that we handle and the details about your personal information that we have. The table below provides you with general information on our data handling practices: the types of personal information we have by category, why we collect it, how we use it, and with whom we share it. Below the table, please find the data details that we have found in our systems related to your above email address.

Our General Data Handling Practices:

Category and Sources of Personal Information	Representative Data Elements	Purpose for Collecting and Sharing the PI	Categories of Third Parties to whom this type of Personal Information is Disclosed for a Business Purpose
Contact Information We collect this type of information from: You	Data elements in this category include: <ul style="list-style-type: none">• Name• Email address• Mobile number• Mailing address	We use this type of information to identify you and communicate with you, including: To send transactional messages (such as when you sign up for newsletters) To send marketing communications, survey and invitations To enable delivery of ads on social media platforms To personalize our communications and provide customer service	We may disclose this type of information to our Affiliates and Service Providers, including to social media companies such as Facebook which use the data to identify which of our customers use their platforms so that we can deliver ads to you on the platform, and to: <ul style="list-style-type: none">• Third parties who deliver our communications

		For our Everyday Business Purposes ¹	<ul style="list-style-type: none"> Other third parties (including government agencies) as required by law
<p>Government-issued identification information numbers</p> <p>We collect this type of information from:</p> <p>You</p>	<p>Data elements in this category include:</p> <ul style="list-style-type: none"> Social Security number from individuals as needed to comply with law, such as tax reporting for individuals who win sweepstakes prizes valued at more than \$600. 	<p>We use this type of information:</p> <ul style="list-style-type: none"> To comply with laws regulating sweepstakes For tax reporting For our Everyday Business Purposes 	<p>We may disclose this type of information to our Affiliates and Service Providers and to:</p> <ul style="list-style-type: none"> Our lawyers, auditors, consultants Other third parties as required by law
<p>Relationship Information</p> <p>We collect this type of information from:</p> <p>You, such as when you register with us, like our content on social media, visit us a trade show, or sign up for a sweepstakes, contest, or giveaway.</p> <p>We may collect information from social media or other sites when you post it or it is</p>	<p>Data elements in this category include:</p> <ul style="list-style-type: none"> Personal characteristics, such as your age, age range or gender Country or language preference (when you specify this for email subscriptions) Data from social media profiles, such as Facebook, Twitter, Goodreads and similar platforms 	<p>We use this type of information:</p> <ul style="list-style-type: none"> To better understand you and our customers generally To tailor our communications to you To identify prospective customers To identify influencers For internal business purposes, such as quality control, training and analytics 	<p>We may disclose this type of information to our Affiliates and Service Providers and to:</p> <ul style="list-style-type: none"> Third parties with whom we have joint marketing and similar arrangements Our lawyers, auditors, consultants Other third parties as required by law

¹ **Everyday Business Purposes** encompasses the Business Purposes (as defined in the CCPA) and following related purposes for which personal information may be used:

- To provide the information, product or service requested by the individual or as reasonably expected given the context with which the personal information was collected (such customer credentialing, providing customer service, personalization and preference management, providing product updates, bug fixes or recalls, and dispute resolution)
- For identity and credential management, including identity verification and authentication, system and technology administration
- To protect the security and integrity of systems, networks, applications and data, including detecting, analyzing and resolving security threats, and collaborating with cybersecurity centers, consortia and law enforcement about imminent threats
- For fraud detection and prevention
- For legal and regulatory compliance, including all uses and disclosures of personal information that are required by law or for reasonably needed for compliance with company policies and procedures, such as: anti-money laundering programs, security and incident response programs, intellectual property protection programs, and corporate ethics and compliance hotlines,
- For corporate audit, analysis and reporting,
- To enforce our contracts and to protect against injury, theft, legal liability, fraud or abuse, to protect people or property, including physical security programs
- To de-identify the data or create aggregated datasets, such as for consolidating reporting, research or analytics,
- To make back-up copies for business continuity and disaster recovery purposes, and
- For corporate governance, including mergers, acquisitions and divestitures.

<p>available publicly, such as when you post book reviews We may also infer information about you based on information that you have given us and your past interactions with us. For example, we may identify or accept you as an influencer based on your public postings on social media sites</p>	<p>Reading interests, including preferred authors, and reviews Marketing preferences</p>	<p>For our Everyday Business Purposes</p>	
<p>Transaction and Interaction Information We collect this type of information from: You, when you interact with us, such as by entering a sweepstakes, contest or giveaway, content or if you purchase products directly from us Third parties that process transactions for us</p>	<p>Data elements in this category include:</p> <ul style="list-style-type: none"> • Entry information for contests and promotions • Customer account information, purchase history and related records • Customer service records 	<p>We use this type of information: To fulfill our business relationship with you, including customer service and fraud prevention For our Everyday Business Purposes</p>	<p>We may disclose this type of information to our Affiliates and Service Providers and to:</p> <ul style="list-style-type: none"> • Third parties as needed to complete the transaction, including delivery companies, agents, authors and other publishers • Our lawyers, auditors, consultants • Other third parties as required by law
<p>Online & Technical Information We collect this type of information from: You and from your computer or devices when you interact with our platforms, websites and applications. For example, when you visit our website our server logs record your IP address and other information. Automatically, via technologies such as first party cookies, web beacons, when you visit our website or other websites.</p>	<p>Data elements in this category include:</p> <ul style="list-style-type: none"> • IP Address • Device identifiers • Web Server Logs • First Party Cookies • Third Party Cookies • Web beacons, clear gifs and pixel tags 	<p>We use this type of information: For system administration, including optimizing our websites and applications, For information security and cybersecurity purposes For recordkeeping, including logs and records that are maintained as part of Transaction Information To better understand our customers and prospective customers and to enhance our Relationship Information, including by associating you</p>	<p>We may disclose this type of information to our Affiliates and Service Providers, including to companies such as Google which use the data collected by cookies and similar means to help us with our online advertising programs, and to:</p> <ul style="list-style-type: none"> • Third parties who assist with our information technology and security programs, including companies such as network security services who retain information on malware threats detected

<p>Third parties, including computer security services and advertising partners</p>		<p>with different devices and browsers that you may use For online targeting and advertising purposes For our Everyday Business Purposes</p>	<ul style="list-style-type: none"> • Third parties who assist with fraud prevention, detection and mitigation • Third party network advertising partners • Our lawyers, auditors, consultants • Other third parties as required by law
<p>Audio Visual Information We collect this type of information from: You Automatically, such as when we record calls to our call center Third parties that provide access to information you make publicly available, such as social media</p>	<p>Data elements in this category include: Photographs Video images CCTV recordings Call center recordings and call monitoring records Voicemails</p>	<p>We use this type of information:</p> <ul style="list-style-type: none"> • For internal business purposes, such as call recordings used for training, coaching or quality control • For relationship purposes, such as use of photos and videos for social media purposes • For our Everyday Business Purposes 	<p>We may disclose this type of information to our Affiliates and Service Providers and to:</p> <ul style="list-style-type: none"> • Our lawyers, auditors, consultants • Other third parties as required by law
<p>Financial information We collect this type of information from: You, if you purchase products directly from us</p>	<p>Data elements in this category include: Payment card information <i>(For security purposes, Macmillan does not generally store payment card numbers, CVV codes or expiration dates. These data elements are provided to our payment processors and not retained by Macmillan.)</i></p>	<p>Financial information is maintained in our transaction data. We use this type of information: For processing payments For risk management, fraud prevention and similar purpose For our Everyday Business Purposes</p>	<p>We may disclose this type of information to our Affiliates and Service Providers and to:</p> <ul style="list-style-type: none"> • Payment processors, financial institutions and others as needed to complete the transactions and for authentication, security and fraud prevention • Our lawyers, auditors, consultants • Other third parties as required by law
<p>Children’s data Our general interest sites do not target children under 16. On our YA sites and at Book Fairs may collect information from children between 13 and 16. . We</p>	<p>Data elements in this category include: name address email address age</p>	<p>We use this type of information:</p> <ul style="list-style-type: none"> • Provide the information, products or services requested by the child or by the child’s parent, guardian or school 	<p>We may disclose this type of information to our Affiliates and Service Providers and to:</p> <ul style="list-style-type: none"> • Other third parties (including government agencies) as required by law

<p>may also collect information about children under 13 from their parents or guardians or from the children with prior parental consent.</p> <p>We do not collect personal information directly from children under 13 without prior parental/guardian consent.</p>		<ul style="list-style-type: none"> • For our Everyday Business Purposes 	
<p>Compliance data</p> <p>We collect this type of information from:</p> <ul style="list-style-type: none"> You Third parties, including companies that help us conduct internal investigations 	<p>Data elements in this category include:</p> <ul style="list-style-type: none"> Compliance program data, including records to demonstrate compliance with applicable laws, such as sweepstakes laws, and privacy laws Records relating to complaints and internal investigations, including compliance hotline reports 	<p>We use this type of information:</p> <ul style="list-style-type: none"> • To comply with and demonstrate compliance with applicable laws • For legal matters, including litigation and regulatory matters, including for use in connection with civil, criminal, administrative, or arbitral proceedings, including in anticipation of litigation or enforcement of judgments and orders • For our Everyday Business Purposes 	<p>We may disclose this type of information to our Affiliates and Service Providers and to:</p> <ul style="list-style-type: none"> • Our lawyers, auditors, consultants • Other third parties (including government agencies, courts and opposing law firms, consultants, process servers and parties to litigation) in connection with legal matters

We have searched our systems and have found your following data details:

[list only the data details found, which may include: name, physical/ Postal Address, Zip Code, Age, Country, URLs/ Social Media Handles, Username for TOR.com, Username for Swoonreads.com, Username for CriminalElements.com, Marketing Preferences or any other information related to the above email address]

Please let us know if you would like us to delete your above personal information by replying to this email with your deletion request. Please understand that Macmillan cannot delete personal information in those situations where our retention is required for Macmillan’s internal

business purposes or otherwise permitted by CCPA (such as for fraud prevention or legal compliance). In these situations, we will retain your information in accordance with our records retention program and securely delete it at the end of the retention period.

For more information about how we handle personal information, please see our Privacy Notice at <https://us.macmillan.com/privacy-notice>. If you have any further questions about the details of your personal information that we handle, please feel free to reach back out to the Data Access and Response team at Macmillan by replying to this email.

Sincerely,

The Data Access and Response Team at Macmillan