

**CCZ Equities Australia Pty Ltd (CCZ)**

**Privacy Statement/Policy - Privacy of your personal information**

**Privacy principles**

We are bound by the Australian Privacy Principles (APPs) and will provide you with financial services in a secure and confidential manner. This policy applies to information collected by CCZ (and its related bodies). In it we advise how we collect and use personal information provided by you in accordance with the Privacy Act.

**Personal Information**

We may ask you to provide personal information such as your name, date of birth, phone number, address, email address, bank details and TFN. We may collect additional information at other times, including but not limited to, when you provide feedback, when you provide information about your personal or business affairs, change your content or email preference, respond to surveys and/or promotions, provide financial or credit card information or communicate with our customer support.

We will only collect and use personal information about you:

- To provide you with products, services or information that you might request or reasonably expect
- To manage our rights and obligations under applicable laws and regulations
- To conduct research, planning, product development, risk assessment and marketing
- For other purposes required or authorised by law.

Failure to provide the personal information referred to above may prevent or restrict our ability to provide particular services to you.

**Collection Policies**

We will not collect any personal information about you except when you have knowingly provided that information to us or authorised a third party to provide that information to us.

Generally, your personal information will be collected in either a face-to-face interview, over the telephone, or by way of a client engagement form. From time to time, additional and/or updated personal information may be collected through one or more of those methods.

We will collect, maintain and use personal information about you to provide the services you have requested, including:

- portfolio services;
- reviewing securities and stock recommendations.

**Any Law that Requires the Particular Information to be collected**

We are required by law to collect certain information to open accounts (e.g.: AUSTRAC AML/CTF Act 2006, Corporations Act, 2001 and the operating rules of the ASX Group).

## **Disclosure Policies**

We will not use or disclose Personal Information collected by us for any purpose other than:

- the purposes for which it was provided or secondary related purposes in circumstances where you would reasonably expect such use or disclosure; or,
- where you have consented to such disclosure; or,
- where the Australian Privacy Principles (APPs) authorise use or disclosure where required or authorised under law, in circumstances relating to public health and safety and in connection with certain operations by or on behalf of an enforcement body.

For the purposes we have described, we may disclose your personal information:

- to our suppliers (including service and content providers), third party clearers, contract and service providers, professional advisers, dealers and agents;
- other parties involved in the administration of your investments including stock exchanges, product issuers, investment registries or mailing houses.

We are required under the Rules and Regulations of the Relevant Exchanges to make certain information available for inspection to ensure ongoing compliance. This may involve the disclosure of your personal information. We are also obliged, pursuant to the Corporations Act 2001, to maintain certain transaction records and make those records available for inspection by the Australian Securities and Investments Commission (ASIC) and AUSTRAC.

We may use the personal information collected from you for the purpose of providing you with material such as articles that may be of interest to you, however you may request not to receive such information and we will comply with that request.

## **Document Storage and Security Policies and Practices**

Your personal information is generally held in your client file or a computer database. We will at all times seek to ensure that the personal information collected and held by us is protected from misuse, loss, unauthorised access, modification or disclosure. At all times your personal information is treated as confidential and any sensitive information is treated as highly confidential. All computer-based information is protected through the use of access passwords on each computer. Data is backed up several times throughout the day and security software is in place to safe guard our data and our Cloud Based Back-up Service.

In the event you cease to be a client of this organisation, any personal information which we hold about you will be maintained in a secure storage facility for a period of seven years in order to comply with legislative and professional requirements, following which time hardcopy information will be destroyed.

## **Gaining Access to Your Personal Information**

You may at any time, by contacting us by any of the methods detailed below, request access to your personal information and we will provide you with access to that information either by providing you with copies of the information requested, allowing you to inspect the information requested or providing you with an accurate summary of the information held. Access to this information will be granted a reasonable time after the request is made. We will, prior to providing access in accordance with this policy, require you to provide evidence of your identity. If particular circumstances apply, we are permitted by the Privacy Act to deny your

request for access or limit the access we provide. In the event we refuse you access to your personal information, we will provide you with a written explanation for that refusal.

### **Information Access and Correction Policies and Procedures**

We will endeavour to ensure that, at all times, the personal information about you that we hold is up to date and accurate. In the event that you become aware, or believe, that any personal information which we hold about you is inaccurate, incomplete or outdated, you may contact us by any of the methods detailed below and provide to us evidence of the inaccuracy or incompleteness. We will, if we agree that the information requires correcting, take all reasonable steps to correct the information a reasonable time after the request is made.

If we do not agree that your personal information requires correcting, we must, take reasonable steps to ensure that whenever your personal information is accessed or handled in the future, it is apparent that you are not satisfied as to the accuracy or completeness of that information. If we do not agree that your personal information requires correcting, we will provide you written explanation for that refusal.

We will endeavour to respond to any request for access within 14-28 days depending on the complexity of the information and/or the request. If your request is urgent, please make this clear to us.

### **Disclosure of your information to Overseas recipients**

We may transfer personal information to related bodies corporate and unaffiliated service providers in locations beyond Australia (including but not limited to the United States) in the course of storing that information and when using or disclosing it for one of the purposes referred to above. When transferring personal information to foreign jurisdictions, CCZ may take steps to ensure the overseas recipient of the information does not breach the Australian Privacy Principles (APPs) in relation to the information. However, CCZ may be unable to ensure the overseas recipient does not breach the Australian Privacy Principles (APPs) in relation to your information. This may mean for information sent overseas you do not have the protections of, or any redress under the Privacy Act. The overseas recipient may not be subject to privacy obligations equivalent to those under the Privacy Act and could be compelled by foreign law to make disclosure of the information. By using CCZ services you consent to CCZ making the disclosure to overseas recipients on this basis.

### **Our website — Cookies**

A cookie is a small file placed on your computer that contains information about your visit to our website. A cookie identifies your computer to our web server when you visit the site. We do not use the cookie to collect or store personal information about you. If you do not wish to use cookies, you can adjust the settings on your browser to reject cookies or notify you when they are being used. Our site may contain links to other websites and CCZ is not responsible for the privacy practices or the content of these websites.

### **How You Can Make a Privacy Complaint**

If you wish to complain about any breach or potential breach of this privacy policy or the Australian Privacy Principles (APPs), you should contact us by any of the methods detailed below and request that your complaint be directed to the Privacy Officer. Your complaint will be considered within seven days and responded to. It is our intention to use our best endeavours to resolve any complaint to your satisfaction.

however, if you are unhappy with our response, you are entitled to contact the Office of the Privacy Commissioner who may investigate your complaint further.

### **Changes to this Policy**

This policy is subject to change from time to time as CCZ considers necessary. We will publish material changes by making them available to you through our website and other means whereby our policies are published.

Contact Details: Privacy Officer

Address: Level 26, 25 Bligh Street, Sydney NSW 2000

Email: [ccz@ccz.com.au](mailto:ccz@ccz.com.au)

Telephone: (02) 9238 8238