

Privacy Policy and Client Statement

This policy applies to information collected by Euroz Securities Limited and its related bodies corporate (“**Euroz**” or “we” or “us”). It outlines how we collect and use personal information that we hold about you in accordance with the Privacy Act.

What personal information is collected?

We only collect personal information that is reasonably necessary for us to provide our products and services. If you do not provide the information that we ask for, we may not be able to provide the products or services you have requested. We may collect information such as your name, address, phone number, email address, tax file number, bank account details, other information that may be required for identification purposes, information about your investments and transactions and other information related to the services we provide.

How personal information is collected?

We will generally collect your personal information in the course of you applying to open an account with Euroz. By using Euroz’s services you consent to Euroz collecting your information from you or from a person who is acting as your agent. We may also collect information directly from you or your agent, such as when you or your agent provide information by phone, email or in an application form.

Use and disclosure of your personal information

Euroz may use your personal information for the primary purpose of providing stockbroking services to you as well as for related purposes such as:

- to verify your identity or transactions which you may enter into with us;
- to administer and manage the provision of our products and services;
- to comply with laws and regulatory requirements including complying with any request made by a governmental authority or regulator, including in connection with legal proceedings or the prevention or detection of fraud and crime;
- to comply with Euroz’s risk management policies and procedures;
- conducting due diligence as part of acceptance of your account with Euroz; or
- another purpose related to the primary purpose.

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

- to our suppliers (including service and content providers), contract and service providers, professional advisers, dealers and agents;
- to government agencies or individuals responsible for the investigation and resolution of disputes or complaints covering your use of our services and facilities including for example ASIC, AUSTRAC or the OAIC;
- other parties involved in the administration of your investments including stock exchanges, product issuers, investment registries or mailing houses;
- anyone to whom our assets or business (or any part of it) is transferred (or offered to be transferred, subject to confidentiality provisions);
- other entities in the wider Euroz group; or
- where you have otherwise consented or as otherwise required or authorised by law.

Access and correction and updating personal information

Generally, we will provide you with access to your personal information that we hold within a reasonable time of a request unless an exception applies under the Privacy Act.

If you believe the personal information that Euroz holds is inaccurate, incomplete or out-of-date and we agree we will amend it. If we disagree with you about the accuracy completeness or currency of our records, then you have the right to request that we note your disagreement in our records. You should keep us informed of any changes to your information by notifying us in writing (which may be done via your agent). We may also ask you to review, confirm and advise us of changes to your personal information.

Storage and security of information

Euroz stores personal information in a combination of computer storage facilities and paper-based files. We will take reasonable steps to protect personal information from loss, misuse, unauthorised access, modification or disclosure.

Cross-border disclosure of personal information

We may transfer personal information to related bodies corporate and unaffiliated service providers in locations beyond Australia 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, Euroz may take steps to ensure the overseas recipient of the information does not breach the Australian Privacy Principles in relation to the information. However, Euroz may be unable to ensure the overseas recipient does not breach the Australian Privacy Principles 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 those under the Privacy Act and could be compelled by foreign law to make disclosure of the information. By using Euroz's services you consent to Euroz making the disclosure to overseas recipients on this basis.

Contacting us and complaints

If you wish to contact us for any purpose regarding this policy including making a complaint about the way we have handled your personal information (including if you think we have breached the Privacy Act) you may do so to our Head of Risk Management in writing, by mail or fax to the address or fax number set out at the end of this guide. When you contact us, include your email address, name, address and telephone number and clearly describe your complaint. Our Head of Risk Management will investigate the complaint and respond to you promptly. If you consider that we have failed to resolve the complaint satisfactorily, and you are an individual located in Australia, you can complain to the Office of the Australian Information Commissioner.

Changes to this policy

This policy is subject to change from time to time as Euroz considers necessary. We will publish material changes by making them available to you either directly or via your agent or elsewhere updating the policy in the places it is published including in our standard forms and documents.

Head of Risk Management
Euroz Securities Limited
Level 18 Alluvion
58 Mounts Bay Road
Perth Western Australia 6000
Telephone: +61 8 9488 1400
Facsimile: +61 8 9488 1477
Email: compliance@euroz.com