

## **Privacy Policy Statement, 2002.**

*Leishman Financial Services Pty Ltd is committed to implementing and promoting a privacy policy which will ensure the privacy and security of your personal information. The following Privacy Policy Statement expresses our policies on the management of your personal information.*

1. Leishman Financial Services Pty Ltd abides by the National Privacy Principles established under the Privacy Amendment (Private Sector) Act, 2001. A summary of the National Privacy Principles is available on our website or by contacting our office.
2. As a financial planning organisation we are subject to certain legislative and regulatory requirements which necessitate us obtaining and holding detailed information which personally identifies you and/or contains information or an opinion about you (“personal information”). In addition, our ability to provide you with a comprehensive financial planning and advice service is dependent on us obtaining certain personal information about you, including:
  - (i) employment details and employment history;
  - (ii) details of your financial needs and objectives;
  - (iii) details of your current financial circumstances, including your assets and liabilities (both actual and potential), income, expenditure, insurance cover and superannuation;
  - (iv) details of your investment preferences and aversion or tolerance to risk;
  - (v) information about your employment history, employment circumstances, family commitments and social security eligibility;
  - (vi) information about your taxation position.
3. As we are required pursuant to the Corporations Act and Rules of Professional Conduct of the Financial Planning Association of Australia to collect sufficient information to ensure appropriate advice can be given in respect of recommendations made to our clients, if you elect not to provide us with the personal information referred to above, we may elect to terminate our relationship with you if we believe we are unable to provide you with a complete service.
4. 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. We will only collect, maintain and use Personal Information about you if it is necessary for us to adequately provide to you the services you have requested including:
  - (i) the preparation of your financial plan;
  - (ii) the provision of financial planning advice to you;
  - (iii) making securities and investment recommendations;
  - (iv) reviewing your financial plan;
  - (v) reviewing securities and investment recommendations;
  - (vi) assessing your taxation position or Social Security or Veterans Affairs entitlement.

## Use and Disclosure Policies.

- a. We may not disclose to your partner (business or personal) or accountant or solicitor, or other professional adviser, any information from our records, without your express written consent. Once granted, this consent is assumed to be ongoing, until such time as we are notified in writing by you to cease such disclosure, or should we learn of a marriage or relationship breakdown, sharing of information between partners will immediately become prohibited.
- b. We are required under the Rules of Professional Conduct of the Financial Planning Association of Australia to make certain information available for inspection by the Association on request to ensure ongoing compliance with mandatory professional standards. This may involve the disclosure of your personal information. We are also obliged pursuant to the Corporations Act to maintain certain transaction records and make those records available for inspection by the Australian Securities and Investments Commission.
- c. We may use the personal information collected from you for the purpose of providing you with direct marketing material such as articles that may be of interest to you, however you may, by contacting us by any of the methods detailed below, request not to receive such information and we will give effect to that request. Please allow 2 weeks for your request to be actioned.
- d. We may disclose your Personal Information to superannuation fund trustees, insurance providers, and product issuers for the purpose of giving effect to your financial plan and the recommendations made by us.
- e. In order to ensure that you receive a personal and tailored service, your Personal Information may be transferred to one of our agents or authorised representatives who will be your primary point of contact with the organisation. It is a condition of our agreement with each of our representatives that they adopt and adhere to this privacy policy. You can be assured that your information will be maintained by any agent or representative in accordance with this policy. If you have any concerns in this regard, you should contact us by any of the methods detailed below.
- f. We may disclose your personal information to external contractors for the following purposes:
  - (i) Provision of additional advice such as specific life insurance quotes or mortgage referral services.

It is a condition of our agreement with each of our external contractors that they adopt and adhere to this privacy policy. You can be assured that your information will be maintained by any contractor to whom it is disclosed in accordance with this policy. If you have any concerns in this regard, you should contact us by any of the methods detailed below.

- g. In the event that we propose to sell our business we may disclose your personal information to potential purchasers for the purpose of them conducting due diligence investigations. Any such disclosure will be made in confidence and it will be a condition of that disclosure that no personal information will be used or disclosed by them. In the event that a sale of our business is affected, we may transfer your personal information to the purchaser of the business. As a client you will be advised of any such transfer.

5. Storage and security policies and practices.
  - a. Your personal information is generally held in your client file. Information may also be held in a computer database.
  - b. 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 off site storage facility for a period of 7 years in order to comply with legislative and professional requirements, following which time the information will be destroyed.
6. You may at any time, by contacting us by any of the methods detailed below, request access to your personal information and we will (subject to the following exceptions) 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. We will, prior to providing access in accordance with this policy, require you to provide evidence of your identity. In the event we refuse you access to your personal information, we will provide you with an explanation for that refusal.
7. Access and correction policies and procedures.
  - a. We will endeavour to ensure that, at all times, the personal information about you which 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 or outdatedness and we will, if we agree that the information requires correcting, take all reasonable steps to correct the information.
  - b. We will endeavour to respond to any request for access within 14-30 days depending on the complexity of the information and/or the request. If your request is urgent please indicate this clearly.
8. If you wish to complain about any breach or potential breach of this privacy policy or the National Privacy Principles, 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 7 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.
9. Leishman Financial Services' web site contains links to other Web sites whose operator may or may not adhere to a privacy policy or be governed by the National Privacy Principles.

### **Contact Details**

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| Privacy Officer: | <i>Simone Vanden-Driesen</i>                         |
| Address:         | <i>4/295 Springvale Road, Glen Waverley Vic 3150</i> |
| Telephone:       | <i>03 9561 9699</i>                                  |
| Facsimile:       | <i>03 9561 9301</i>                                  |
| e-mail:          | <i>simone@leishmans.com.au</i>                       |