

Professional Wealth Privacy Policy

Introduction

Professional Wealth Pty Ltd provides a diversified range of Financial Services to individual investors, businesses, trustees of foundations and accountants. Professional Wealth is bound by the National Privacy Principles (NPP) as outlined in schedule 3 of the Privacy Act 1988(Commonwealth), and the professional 'Code of Conduct' adopted by the Financial Planning Association of Australia (FPA).

We are committed to educating our employees on the importance of protecting the personal information that it collects from investors, advisors and other referral sources. This Privacy Policy Statement details how Professional Wealth collects, handles and protects the personal information obtained.

Privacy Policy Statement

As a financial planning organisation Professional Wealth is 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:

- a. name, address, date of birth, employment details and employment history;
- b. details of your financial needs and objectives;
- c. details of your current financial circumstances, including your assets and liabilities (both actual and potential), income, expenditure, insurance cover and superannuation;
- d. details of your investment preferences and aversion or tolerance to risk;
- e. family commitments where applicable, and social security eligibility.

Generally, collection of your personal information will be effected in either face to face interviews, over the telephone, completion of a data questionnaire or by way of electronic means i.e. facsimile or email transmission. From time to time additional and/or updated personal information may be collected through one or more of these methods.

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

- a. the purpose for which it was provided or secondary related purposes in circumstances where you would reasonably expect such use or disclosure; or
- b. where you have consented to such disclosure; or
- c. to a contractor of Professional Wealth under an outsourcing arrangement but only where the contractor is committed to meeting, and can demonstrate, the same privacy obligations as those binding on Professional Wealth.

- d. in a manner consistent with any consent given to Professional Wealth or where Professional Wealth is compelled by Law or bound by the professional 'code of conduct' it subscribes.

Professional Wealth 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'. Access to our premises is controlled by allowing only personnel with security passes to access the premises. All computer-based information is protected through the use of access passwords on each computer. Data is backed up and stored securely off site.

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. We will, prior to providing access in accordance with this policy, require you to provide evidence of your identity.

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

Professional Wealth will endeavor to ensure that, at all times, the personal information about you which we hold is up to date, complete and accurate. In the event that you become aware, or believe, that any personal information that we hold about you is not up to date, complete and accurate, you may contact us and provide us with such information necessary to up date your records.

Any complaint you may have with respect to the handling of personal information by Professional Wealth may be made by contacting;

Privacy Officer
Professional Wealth
GPO BOX 4975
MELBOURNE VIC 3001
Phone :(03) 8620 9915
Fax : (03) 9614 1982
Email : info@professionalwealth.com.au

Your complaint will be considered within 7 days and responded to. It is our intention to use our best endeavors 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.

This statement is dated 10 January 2005 and Professional Wealth may update this statement from time to time.