

FNZ Securities Privacy Policy

This privacy policy will explain how FNZ Securities uses the personal data we collect from you.

What data do we collect?

FNZ Securities collects the following data:

Personal identification information (Name, email address, date of birth, phone number, etc.)

Tax information including National Insurance no, residency, nationality and other Anti-Money Laundering, and Know Your Client information.

We may record all telephone conversations relating to your account including, but not limited to, recordings of investment instructions for training, monitoring and fact verification purposes.

How do we collect your data?

You directly provide us with most of the data we collect. We collect data and process data when you:

Register online or place an order for any of our products or services.

Voluntarily complete a customer survey or provide feedback on any of our message boards or via email.

Use or view our website via your browser's cookies.

FNZ Securities will also receive your data indirectly from your financial advisor or wealth manager.

You agree that we may use any sources that we consider appropriate, including electronic data sources, for the purposes of verifying your identity or any other information that you provide to us. Where we carry out an electronic identity check this will be with a reputable referencing agency. The referencing agency used will maintain a record of the check.

How will we use your data?

FNZ Securities collects your data so that we can process your order and manage your investment account.

During the life of your account we may send your data to, and also use the resulting information from, credit reference agencies to prevent fraudulent purchases.

We may be required to pass your personal details to a credit reference agency, bank, investment manager or provider of an underlying investment to enable that party to carry out an electronic identity check on you. The credit reference agency, bank, investment manager or investment provider used may maintain a record of the check.

We may disclose information orally, in writing (including by email) or via secure internet portal concerning you and your investments:

- a. subject to law, to any person anywhere in the world, as long as the receiving country ensures an adequate level of protection of personal data, in the proper performance of our obligations under these terms, including to any other companies within the FNZ Group and any of our agents, delegates and advisers; or
- b. as required by law or any competent authority; or

c. to any person we reasonably believe to have been appointed by you as your agent or as an investment manager; or

d. with your prior written consent.

Alternatively, we may be required to forward copies of any verification of identity and address documents that we have obtained from you or your adviser.

How do we store your data?

We will take all reasonable technical and organisational security measures to prevent the unauthorised or unlawful processing of your personal data and accidental loss or destruction of, or damage to, such data.

In order to satisfy regulatory requirements, we will retain information after your account has been closed. This will include applications that do not proceed.

What are your data protection rights?

We would like to make sure you are fully aware of all of your data protection rights.

Every user is entitled to the following:

The right to access- You have the right to request copies of your personal data. We may charge you a small fee for this service.

The right to rectification - You have the right to request that we correct any information you believe is inaccurate. You also have the right to request to complete information you believe is incomplete.

The right to erasure — You have the right to request that we erase your personal data, under certain conditions. However, most of the data held by us would be covered under regulatory requirements for retention.

The right to restrict processing - You have the right to request we restrict the processing of your personal data, under certain conditions, but that may result in us not being able to service your account.

The right to object to processing - You have the right to object to processing of your personal data, under certain conditions, but that will result in suspension of your account.

The right to data portability - You have the right to request that FNZ Securities transfer the data that we have collected to another organisation, or directly to you, under certain conditions.

If you make a request, we have one month to respond to you. If you have any questions about Our Company's privacy policy, the data we hold on you, or you would like to exercise one of your data protections rights, please do not hesitate to contact us. Email us at:

securitiescomplianceuk@fnz.com

Call us: 0303 333 3330 Or write to us at: Level 5, 67 Lombard Street, London, EC3V 9LJ

How to contact the appropriate authority

Should you wish to report a complaint or if you feel that Our Company has not addressed your concern in a satisfactory manner, you may contact the Information Commissioner's Office.

[Contact us | ICO](#)