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ABN 95 092 989 083 /// AFSL 247 100 /// Participant of ASX Group & Chi-X Australia

## **Privacy Notification and Policy**

### **State One Stockbroking Ltd (“SOSL”)**

ABN 95 092 989 083

Australian Financial Services Licence (“AFSL”)  
247100

Participant of the ASX Group and  
Chi-X Australia Pty Ltd

Current as at March 2017

[www.stateone.com.au](http://www.stateone.com.au)

## **Privacy Notification and Policy**

Keeping your information private and secure has always been extremely important to State One Stockbroking Group. The Group is State One Stockbroking Ltd and its subsidiaries such as amscot Discount Stockbroking. We are committed to protecting and maintaining the privacy, accuracy and security of your personal and financial information. State One Stockbroking is bound by the Australian Privacy Principles of the Privacy Act 1988 (Cth). The Australian Privacy Principles govern how organisations must handle personal information. We have developed our Privacy Policy to address any concerns that clients may have and to inform you about the types of Personal Information collected, how it is stored, who has access to it, and how it is used and disclosed. The Australian Privacy Principles came in to replace the National Privacy Principles on the 12<sup>th</sup> of March 2014, whereby some of the principles apply to personal information collected prior to and after this date.

Please read this Policy carefully as usage of our website and services is conditional upon you agreeing to be bound by it.

We will in accordance with these principles;

- take practical steps to ensure that such information, if used, is accurate, complete and up to date;
- take reasonable steps to protect it from misuse, loss or unauthorised access or disclosure;
- provide you with access to the information if we still use it;
- not use any government identifier to identify you; and
- only transfer such information overseas with your consent or as authorised by the principles.

## **How we collect personal information and what types of personal information we may collect**

State One Stockbroking Group is required to meet particular legislative and regulatory requirements. In order to provide comprehensive advice to you, we are required to collect certain personal information from you for the purpose of:

- Providing you with the relevant product or service
- Managing and administering the product or service
- Protecting against fraud

The Personal information collected will include your name and address, and if you open an account with us your other contact details such as phone number, fax number email address; your tax file number (if you choose to give it to us), date of birth, employment and financial details, employer, occupation and some form of identification e.g. your drivers licence.

Personal information about you will be collected based on the method by which you interact with us. We may collect it through application forms, telephone and internet contact and in person if you visit our offices. We collect information about you for the purpose of reporting to AUSTRAC under the Anti-Money Laundering and Counter Terrorism Financing Act 2006.

There may be occasions when we may need to collect personal information from other parties with or without your direct involvement e.g. the telephone directories, share registries, your representatives such as a legal advisor and credit reporting agencies. You have a right to refuse us authorisation to collect information from a third party.

We collect statistical information on the usage of our website such as the number of users, the pages viewed, time online and how users navigate. If you have a username and password and log into the site we will be aware of your identity. This information is collected by the use of cookies.

For more information regarding the use of cookies please read below.

When you call us we may also monitor and/or record telephone calls for staff training and coaching purposes and to verify statements.

### **Use of Cookies**

In common with many websites, our website along with some third party vendors may utilise cookies/identifiers to collect information about your use of the website. A “cookie” is a small text file placed on your computer’s hard drive or browser by a web page server and containing various information when you visit the website. A “session cookie” exists only for the duration of your visit. They are used to verify your identity during your visit. At the end of your visit the session cookie is removed and cannot be used to track your movements between sessions.

We, along with some third party vendors may also use “persistent” cookies which are used to store certain preferences you may have chosen (and agreed to) such as establishing a watch screen with a number of your favourite stocks. The cookie will store the information and keep a record of your choice. If you are concerned in regards to receiving cookies you can enable an alert in your web browser which will then give you the choice whether you wish to accept the cookie or not.

### **Use of Personal Information**

Your personal information is primarily collected to enable us to establish your account and provide you with the product or service you have requested and the administration of that account, product or service. We may use the information to establish a CHESSE Holder Identification Number if you choose to become Broker Sponsored. Unless we collect this information from you we may not be able to provide our products and services to you or provide the information you have requested.

We may also use your personal information and/or disclose it:-

- to inform you about other products and services offered by the State One Capital Group, however you can notify us at any time if you do not wish to receive this information;
- to assist you with your queries;
- to develop new products and services;
- to undertake planning, research and statistical analysis;
- to assist in providing, managing or administering our internal or external operations such as our call centre, advisors and dealers, for accounting, record keeping, archiving, system development, testing, and printing and postal services;
- to debt collection agencies and payment system operators;
- as required by law or otherwise permitted under the Privacy Act 1988 (Cth).

### **Disclosing personal information**

We may need to disclose your personal information to other parties or organisations outside State One Stockbroking Group. The organisations to which we disclose information may include:

- superannuation fund trustees, insurance providers, fund managers and other product providers in order to manage or administer your product or service;
- compliance consultants to ensure that our representatives are meeting our compliance standards;
- contractors or temporary staff to handle workloads during peak periods;
- mailing houses;
- your professional advisers, including your solicitor or accountant as authorised by you;
- information technology service providers to maintain, review and develop our business systems, procedures and infrastructure including testing or upgrading our computer systems;
- government and regulatory authorities and other organisations, as required or

authorised by law, for example, to government or regulatory bodies for the purposes related to public health and safety, the prevention or detection of unlawful activities or to protect public revenue;

- another authorised representative of State One Stockbroking Group if necessary;
- a potential purchaser/organisation involved in the proposed sale of our business for the purpose of due diligence, corporate re-organisation and transfer of all or part of the assets of our business (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);
- product planning and development advisers
- where you have given your consent including your legal advisers;
- a new owner of our business that will require the transfer of your personal information;
- a third party electronic identity verification provider, for the purpose of confirming identification and sanction list screening.

However, we will only do so where we are obliged to by law or where we have your express or implied consent. If we do disclose the information to third parties we attempt to take reasonable steps to ensure that those third parties comply with the Australian Privacy Principles when they handle the information we pass on to them.

Express consent is where you clearly state so in writing or when speaking to an advisor, dealer or other staff member.

Implied consent is where we have reasonable assumed you have given your consent from your actions or behaviour e.g. we advise you that the telephone call you are making may be recorded and you continue with the call without requesting that the call is not taped.

If we disclose your information to external parties to enable us to provide our services e.g. mailing or postal services, we only disclose the information that is required for them to perform their service.

### **Marketing our Products and Services to you**

We may use your personal information to let you know about products and services that we believe may meet your needs. If you do not wish to receive such marketing materials you can inform us and we will endeavor to meet your request within 2 weeks.

We along with some third party vendors may advertise our sites and services online, across unrelated sites across the internet. In doing so we or the third party vendors may use cookies to achieve this. If you are concerned in regards to receiving cookies you can enable an alert in your web browser which will then give you the choice whether you wish to accept the cookie or not.

### **Protecting your personal information**

State One Stockbroking stores your personal information in both paper and electronic formats. We will use reasonable measures to prevent unauthorised access to your personal information in order to prevent misuse, loss, unauthorised access, disclosure, modification and disclosure.

Paper documents are protected from unauthorised access or use through physical security measures and access restrictions and security systems we have in our premises. Unauthorised electronic access is protected by up to date computer and network security systems, firewalls, data encryption, usernames and passwords.

As required by law, personal information must be obtained from you in accordance with the Privacy Act 1988 (Cth). For further information regarding this Act please refer to <http://www.oaic.gov.au>

Where personal information is no longer required by us we will dispose of it in a secure manner

e.g. shredding to ensure that we remove information that could be used to identify you. It is a legislative requirement that we keep all personal information and records for a period of 7 years. Should you cease to be a client of ours, we will maintain your personal information on or offsite in a secure manner for 7 years. After this, the information will be destroyed.

When you log onto the secure area of our website the data is encrypted using Secure Sockets Layer ("SSL") encryption technology which scrambles the personal information to ensure it is protected over the internet.

We also require you to log into the secure area utilising a unique username and password to further protect from unauthorised access to your personal information.

#### **Accuracy of records**

We aim to ensure that the personal information we collect, use or disclose is accurate, complete and up to date. Please contact us if any of the details you have provided change. Please also contact us if you believe that any of the personal information we have about you is not accurate, complete or up to date. We may take steps to update personal information from publicly available sources such as telephone directories.

#### **Accessing and Correction to Personal Information**

You can request to access the personal information we hold about you. This is subject to some exceptions allowed by law. Factors affecting a right to access may include access having an unreasonable impact on the privacy of others, the request is frivolous or vexatious, the information is commercially sensitive and other factors required by various laws.

We will inform you if your request has been rejected and will provide reasons. Please contact us (at the contact details at the end of this document) to request access. Some information can be checked and corrected over the telephone.

An access charge may apply, but not to the request thereof. The charge will be levied at the rate of \$66 per hour (GST inclusive) and is to compensate us for the time spent on locating, collating and explaining the information you request plus any out of pocket expenses such as postage, freight, photocopying and other incidentals.

We will respond to most access requests within 14 days of its receipt. Where there are circumstances preventing us meeting this deadline we will deal with your request within 30 days.

## **HOW TO CONTACT STATE ONE STOCKBROKING LTD**

By telephone: 1300 651 898  
(08) 9288 3388  
(02) 9024 9105

By facsimile: (08) 9321 6998  
(08) 9321 6997  
(02) 9252 1724

By Mail: State One Stockbroking Ltd  
PO Box 7625  
CLOISTERS SQUARE WA 6850

State One Stockbroking Ltd  
PO Box R1931  
ROYAL EXCHANGE NSW 1225

Email: [broker@stateone.com.au](mailto:broker@stateone.com.au)  
Website: [www.stateone.com.au](http://www.stateone.com.au)

### **Changes to the policy**

This document sets out the current privacy policy of State One Stockbroking. This document may be changed or amended from time to time.

The most current version can be accessed from our website at [www.stateone.com.au](http://www.stateone.com.au)