TF GLOBAL MARKETS EQUITIES (AUST) PTY LTD

Privacy Policy and Collection Statement

Document	Privacy Policy and Collection Statement
Date	02 July 2024
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1. Introduction

TF Global Markets Equities (Aust) Pty Limited ABN 63 636 447 099 (referred to as ***ThinkMarkets***, ***we***, ***our***, ***us***) is bound by the *Privacy Act 1988* (***Privacy Act***), including the Australian Privacy Principles (***APPs***), and recognises the importance of ensuring the confidentiality and security of your personal information.

All third parties (including clients, suppliers, sub-contractors, or agents) who have access to or use personal information collected and held by TF Global Markets Equities (Aust) Pty Limited, must abide by this Privacy Policy and Collection Statement (**Privacy Policy**). TF Global Markets Equities (Aust) Pty Limited makes this Privacy Policy available free of charge and can be downloaded from its website https://www.thinkmarkets.com/au/shares/legal-and-regulation/privacy-statement/ The Privacy Policy applies to existing and potential Clients as well as to any person visiting any website operated by the Company. ThinkMarkets is responsible to protect the privacy of all personal data that acquires, and to manage the protection of privacy and the safekeeping of Clients personal and financial information. The Company has taken measurable steps to protect the confidentiality, security, and integrity of your information.

The following definitions are referenced in this Privacy Policy:

- ***Disclosure*** of information means providing information to persons outside of TF Global Markets Equities (Aust) Pty Limited;
- ***Personal information*** means information or an opinion relating to an individual, which can be used to identify that individual;
- ***Privacy Officer*** means the contact person within TF Global Markets Equities (Aust) Pty Limited for questions or complaints regarding TF Global Markets Equities (Aust) Pty Limited's handling of personal information;
- ***Sensitive information*** is personal information that includes information relating to a person's racial or ethnic origin, political opinions, religion, trade union or other professional or trade association membership, sexual preferences, and criminal record, and includes health information; and
- ***Use*** of information means use of information within TF Global Markets Equities (Aust) Pty Limited and other related companies within the group.

2. What kind of personal information does ThinkMarkets collect and hold?

Personal data, or personal information, means any information about an individual from which that person can be identified. It does not include data where the identity has been removed (anonymous data).

There are certain types of more sensitive personal data which require a higher level of protection, such as information about a person's health or sexual orientation. Information about criminal convictions also warrants this higher level of protection.

We may collect and hold a range of personal information about you to provide you with our services, including:

- Identity Data includes first name, maiden name, last name, proof of identity, username or similar identifier, marital status, title, date and place of birth and gender, country of residence and citizenship.
- Contact Data includes billing address, delivery address, email address and telephone numbers proof of address.
- Professional Data includes level of education, profession, employer name, work experience in Forex/CFD's, information on Client's experience, knowledge in forex industry and risks.
- Financial Data includes annual income, net worth, source of funds, anticipated account turnover, bank account, bank statements, payment card details and copies, E-wallet information.
- Transaction Data includes details about payments to and from you and other details of products and services you have purchased from us, deposit methods, purpose of transactions with us.
- Technical Data includes internet protocol (IP) address, your login data, browser type and version, time zone setting and location, browser plug-in types and versions, operating system and platform and other technology on the devices you use to access this website.
- Profile Data includes your username and password, purchases or orders made by you, your interests, preferences, feedback, and survey responses.
- Usage Data includes information about how you use our website, products and services.
- Marketing and Communications Data includes your preferences in receiving marketing from us and our third parties and your communication preferences.
- Identification details such as passport or driver's licence details;
- trading preferences;
- other personal information we require to meet your needs and provide our services to you.

We obtain this information through your use of our services or other dealings with us including through any of our websites, apps, the account opening applications, demo sign up, webinar sign up, subscribing to news updates and from information provided in the course of ongoing customer communication.

We collect information about visitors to our premises. We may record information on your visit, including the date and time, who you are visiting, your name, employer, contact details and vehicle registration number.

We may record any communications, electronic, by telephone, in person or otherwise, that we have with you in relation to the services we provide to you and our relationship with you. These recordings will be our sole property and constitute evidence of the communications between us. Any telephone conversation may be recorded without the use of a warning tone or any other further notice.

3. How does ThinkMarkets collect personal information?

We generally collect personal information directly from you. For example, personal information will be collected through our application processes, forms, and other interactions with you while providing you with our products and services, including when you visit our website, use a mobile app from us, call us or send us correspondence.

We may also collect personal information about you from a third party, such as electronic verification services, referrers, and marketing agencies. If so, we will take reasonable steps to ensure that you are made aware of this Privacy Policy. We may also use third parties to analyse traffic at our website, which may involve the use of cookies. Information collected through such analysis is anonymous.

We will not collect sensitive information about you without your consent unless an exemption in the APPs applies. These exceptions may include if the collection is required or authorised by law, regulations, statutes or is necessary to take appropriate action in relation to suspected unlawful activity or serious misconduct.

If the personal information we request is not provided by you, we may not be able to provide you with the benefit of our services or meet your needs appropriately.

We do not give you the option of dealing with ThinkMarkets anonymously, or under a pseudonym. This is illegal for TF Global Markets Equities (Aust) Pty Limited to deal with individuals who do not appropriately identify themselves.

4. Unsolicited personal information

ThinkMarkets may receive unsolicited personal information about you at times. We destroy or de-identify all unsolicited personal information we receive unless it is relevant to our purposes for collecting personal information. We may retain additional information we receive about you if it is combined with other information we are required or entitled to collect. If we do this, we will retain the information in the same way we hold your other personal information.

5. Who does ThinkMarkets collect personal information about?

The personal information we may collect, and hold includes (but is not limited to) personal information about:

- clients;
- potential clients;
- visitors to our website
- introducing brokers
- service providers or suppliers;
- prospective employees, employees, and contractors; and
- other third parties with whom we come into contact.

6. Website collection

ThinkMarkets collects personal information when we receive completed online generated forms from our website https://www.thinkmarkets.com/au/. We may also use third parties to analyse traffic at our website, which may involve the use of cookies. Information collected through such analysis is anonymous.

To use our website, you must consent to our use of cookies. You can withdraw or modify your consent to our use of cookies at any time. If you want to restrict or block the cookies we set, you can do this through your browser settings. The 'help' function within your browser should tell you how.

Alternatively, you could visit www.aboutcookies.org, which contains comprehensive information on cookies on a wide variety of browsers. You'll also find details on how to delete cookies from your

computer. To learn more about controlling cookies on the browser of your mobile device please refer to your device's manual.

Please note that if you set your browser to refuse cookies, you may not be able to use our website or all of the features found on our website.

Cookies do not contain personal information in themselves but can be used to identify a person when combined with other information. Cookies are small text files which are transferred to your computer's hard drive through your web browser that enables our website to recognise your browser and capture and remember certain information. This includes facilitating:

- To protect our Clients and prevent fraudulent activity. Without cookies enabled you can't use our Management Portal or online trading platforms.
- In our online application forms. Without cookies enabled you won't be able to apply for our products.
- In web analytics. We also use web analytics services from other companies to track how visitors reach our site and the path they take through it. These companies use cookies to help us improve our services to you.

We also use cookies to help us to understand whether you've opened an email and how you've interacted with it. If you have enabled images, cookies may be set on your computer or device. Cookies will also be set if you click on any link within the email. The types of cookies we use are:

- Web beacons. These are tiny, invisible images placed in emails to tell us whether you've opened them (and if so, how often), how you interacted with them (for example the time you spent reading the email), which email software and web browser you used, which device you used and your IP address. We also use web beacons to help us display emails in the best format for your device.

- Link tracking. Our emails contain several hyperlinks, each of which has a unique tag. When you click on one of these links the mailing company logs the click so that we can understand who has clicked through from an email to our website. We use this information to tailor future messages to you.
- Cookies. Our process for delivering emails may cause cookies to be set when you download images or when you click on a link.

If you don't want to accept cookies from our emails, simply close the email before downloading any images or clicking on any links. You can also set your browser to restrict or reject cookies. These settings will apply to all cookies on websites and emails.

In some instances, depending on your email or browser settings, cookies in an email may be automatically accepted (for example, when you've added an email address to your address book or safe senders list). Please check your email browser or device instructions for more information on this.

We will delete all data obtained through cookies every two years.

7. Why does ThinkMarkets collect and hold personal information?

We may use and disclose the information we collect about you for the following purposes:

- provide you with our products and services;
- review and meet your ongoing needs;
- provide you with information we believe may be relevant or of interest to you;

- let you know about other products or services we offer, send you information about special offers or invite you to events;
- consider any concerns or complaints you may have;
- comply with relevant laws, statutes, regulations and other legal obligations;
- help us improve the products and services offered to our customers and enhance our overall business;

We may use and disclose your personal information for any of these purposes. We may also use and disclose your personal information for secondary purposes which are related to the primary purposes set out above, or in other circumstances authorised by the Privacy Act.

Sensitive information will be used and disclosed only for the purpose for which it was provided (or a directly related secondary purpose), unless you agree otherwise, or an exemption in the Privacy Act applies.

Information Use

ThinkMarkets uses the personal information we collect from you to deliver our services, to provide client support, to undertake the necessary security and identify verification checks, to comply with relevant laws, statutes and regulations and other legal obligations, to process any of your online transactions, to assist your participation in third-party promotions, meet certain business requirements and for any other purpose related to the operation of the services. Your personal information may also be used by us to provide you with promotional offers and information regarding our products and services and for us to better provide a range of products and services and improved customer service. From time-to-time, we may request information from you via surveys. Participation in these surveys is completely voluntary, and, therefore, you have the choice of whether to disclose such information. Information requested may include contact information (such as name, correspondence address, and telephone number), and demographic information (such as postal code or age).

8. Who would ThinkMarkets disclose personal information to?

We may disclose personal information to:

- a related entity of TF Global Markets Equities (Aust) Pty Limited;
- an agent, contractor or service provider we engage to carry out our functions and activities, such as our lawyers, accountants, debt collectors or other advisers;
- organisations involved in a transfer or sale of all or part of our assets or business;
- organisations involved in managing payments, including payment merchants and other financial institutions, such as banks;
- regulatory bodies, government agencies, law enforcement bodies and courts;
- financial product issuers;
- anyone else to whom you authorise us to disclose it or is required by law;

  If we disclose your personal information to service providers that perform business activities for us, they may only use your personal information for the specific purpose for which we supply it. We will ensure that all contractual arrangements with third parties adequately address privacy issues, and we will make third parties aware of this Privacy Policy.

9. Sending information overseas

ThinkMarkets may disclose personal information to other group companies or service providers that are located outside Australia in some circumstances. These recipients may be in the following countries:

- United States, Cyprus, United Kingdom, and Bulgaria

We will not send personal information to recipients outside of Australia unless:

- we have taken reasonable steps to ensure that the recipient does not breach the Act and the APPs,
- the recipient is subject to an information privacy scheme like the Privacy Act; or
- the individual has consented to the disclosure.

If you consent to your personal information being disclosed to an overseas recipient, and the recipient breaches the APPs, we will not be accountable for that breach under the Privacy Act, and you will not be able to seek redress under the Privacy Act.

10. Failure to provide personal data

ThinkMarkets needs to collect your personal data as part of statutory obligations or as part of the contractual arrangements we have with you. If you fail to provide that data when requested, we will not be able to perform the contract we have or are trying to enter with you (for example, to provide you with goods or services). In this case, we may have to cancel a product or service you have with us,

11. Management of personal information

ThinkMarkets recognises the importance of securing all personal information of our customers. We will take steps to ensure your personal information is protected from misuse, interference or loss, and unauthorised access, modification, or disclosure.

Your personal information is generally stored in our computer database. Any paper files are stored and maintained in secure areas on company grounds. In relation to information that is held on our computer database, we apply the following guidelines:

- password complexity is enforced, and employees are required to change their password at regular intervals;
- passwords are required to access the system, and passwords are routinely checked;
- we use audit trails and audit logs to track access to an individual's personal information by an employee;
- we monitor access to personal information, and will investigate and take appropriate action if any instances of unauthorised access by employees are detected;
- data ownership is clearly defined;
- we change employees' access capabilities when they are assigned to a new position;
- employees have restricted access to certain sections of the system;
- the system automatically logs and reviews all unauthorised access attempts;
- unauthorised employees are barred from updating and editing personal information;
- all computers which contain personal information are secured both physically and electronically;
- data is encrypted during transmission over the network; and
- print reporting of data containing personal information is limited.

If and when our employees work remotely or from home, we have implemented the following additional security measures:

- two-factor authentication is enabled for all remote working arrangements;
- we ensure that employees only have access to personal information which is directly relevant to their duties;
- employees are not permitted to work in public spaces;
- employees must ensure that screens are angled so that they cannot be viewed by anyone else, and are locked at all times when not in use;
- employees must ensure that no other member of their household uses their work device;
- employees must store devices in a safe location when not in use;
- employees may not make hard copies of documents containing personal information, nor may they email documents containing personal information to their personal email accounts; and
- employees may not disclose an individual's personal information to colleagues or third parties via personal chat groups.

Recording of telephone conversations and of electronic communication

We record, monitor, and process any telephone conversations and/or electronic communications between us such as through fax, email, social media, electronic messages, either initiated from the Company's side or your side. All such communications are recorded and/or monitored and/or processed by the Company, including any telephone conversations and/or electronic communications that result or may result in transactions or client order services even if those conversations or communications do not result in the conclusion of such transactions. The content of relevant in person conversations and/or communications with you may be noted in our records. Any such records shall be provided to you upon request at the same language as the one used to provide investment services to you. Please see section 15 for more information.

12. Direct marketing

We may only use personal information we collect from you for the purposes of direct marketing without your consent if:

- the personal information does not include sensitive information; and
- you would reasonably expect us to use or disclose the information for the purpose of direct marketing; and
- we provide a simple way of opting out of direct marketing; and
- you have not requested to opt out of receiving direct marketing from us.

If we collect personal information about you from a third party, we will only use that information for the purposes of direct marketing if you have consented (or it is impracticable to obtain your consent), and we will provide a simple means by which you can easily request not to receive direct marketing communications from us. We will draw your attention to the fact you may make such a request in our direct marketing communications.

You have the right to request us not to use or disclose your personal information for the purposes of direct marketing. We must give effect to the request within a reasonable period. You may also request that we provide you with the source of their information. If such a request is made, we must notify you of the source of the information free of charge within a reasonable period.

13. Identifiers

ThinkMarkets does not adopt identifiers assigned by the Government (such as drivers' licence numbers) for our own file recording purposes, unless one of the exemptions in the Privacy Act applies.

14. How does ThinkMarkets keep personal information accurate and up to date?

We are committed to ensuring that the personal information we collect, use and disclose is relevant, accurate, complete and up to date.

We encourage you to contact us to update any personal information we hold about you. If we correct information that has previously been disclosed to another entity, we will notify the other entity within a reasonable period of the correction. Where we are satisfied information is inaccurate, we will take reasonable steps to correct the information within 30 days, unless you agree otherwise. We do not charge you for correcting the information.

15. Accessing your personal information

Subject to the exceptions set out in the Privacy Act, you may gain access to the personal information that we hold about you by contacting the TF Global Markets Equities (Aust) Pty Limited's Privacy Officer. We will provide access within 30 days of the individual's request. If we refuse to provide the information, we will provide reasons for the refusal.

We will require identity verification and specification of what information is required.

16. Updates to this Privacy Policy

This Privacy Policy will be reviewed from time to time to take account of new laws, statutes, regulations and technology, or changes to our operations and the business environment.

17. Responsibilities

It is the responsibility of management to inform employees and other relevant third parties about this Privacy Policy. Management must ensure that employees and other relevant third parties are advised of any changes to this Privacy Policy. All new employees are to be provided with timely and appropriate access to this Privacy Policy, and all employees are provided with training in relation to appropriate handling of personal information. Employees or other relevant third parties that do not comply with this Privacy Policy may be subject to disciplinary action.

ThinkMarkets may periodically make changes to this Privacy Policy and will appropriately reflect these changes by posting the modified terms on our website. In case of doubt, Personal Information we collect, and hold is governed by the current version of this Privacy Policy on our website at the relevant time, we recommend that you revisit this Privacy Policy regularly. It is important that the personal data we hold about you is accurate and current. Please keep us informed if your personal data changes during your relationship with us.

It is important that you read this policy together with any other policy statement or fair processing notice we may provide on specific occasions when we are collecting or processing personal data about you so that you are fully aware of how and why we are using your data. This policy supplements the other notices and is not intended to override them.

This website is not intended for children, and we do not knowingly collect data relating to children.

18. Non-compliance and disciplinary actions

Privacy breaches must be reported to management by employees and relevant third parties. Ignorance of this Privacy Policy will not be an acceptable excuse for non-compliance. Employees or other relevant third parties that do not comply with this Privacy Policy may be subject to disciplinary action.

19. Incidents/Complaints handling/Making a complaint

ThinkMarkets has an effective complaint handling process in place to manage privacy risks and issues.

The complaints handling process involves:

- identifying (and addressing) any systemic/ongoing compliance problems;
- increasing consumer confidence in our privacy procedures; and
- helping to build and preserve our reputation and business.

You can make a complaint to us about the treatment or handling of your personal information by lodging a complaint with the Privacy Officer.

If you have any questions about this Privacy Policy, or wish to make a complaint about how we have handled your personal information, you can lodge a complaint with us by:

- writing – TF Global Privacy Officer, Level 14, 333 Collins Street, Melbourne VIC 3000
- emailing – compliance@thinkmarkets.com

If you are not satisfied with our response to your complaint, you may refer your complaint to the Office of the Australian Information Commissioner by:

- telephoning – 1300 363 992
- writing – Director of Complaints, Office of the Australian Information Commissioner, GPO Box 5218, SYDNEY NSW 2001
- online submission – https://forms.business.gov.au/smartforms/landing.htm?formCode=APC_PC

20. Contractual arrangements with third parties

ThinkMarkets ensures that all contractual arrangements with third parties adequately address privacy issues, and we make third parties aware of this Privacy Policy.

Third parties will be required to implement policies in relation to the management of your personal information in accordance with *the Privacy Act*. These policies include:

- regulating the collection, use and disclosure of personal and sensitive information;
- de-identifying personal and sensitive information wherever possible;
- ensuring that personal and sensitive information is kept securely, with access to it only by authorised employees or agents of the third parties; and
- ensuring that the personal and sensitive information is only disclosed to organisations which are approved by us.

21. Your rights

This Privacy Policy contains information about how:

- you may access the personal information we hold about you;
- you may seek the correction of your personal information;

- you may ask us to provide an alternative means of identity verification for the purposes of the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (Cth)*;*
- you may complain about a breach of the Privacy Act, including the APPs; and
- we will deal with a privacy complaint.