

This Data Handling Statement (Statement) applies to individuals that apply for a trading account with Australian Investment Exchange Limited (we, us, or AUSIEX).

If you apply for an account with us, we will collect and verify information about you from you or electronic customer verification providers.

We are bound by the *Privacy Act 1988 (Cth)* and handle personal information in accordance with our Privacy Policy. We are committed to respecting and protecting your personal information, i.e. any information that we hold about you through which you may be reasonably identifiable.

This Statement supplements our Privacy Policy and collection notifications in our share trading terms and conditions by explaining how we collect, hold, use and disclose your personal information in relation to your application. By providing personal information to us, you consent and authorise us to handle your personal information in accordance with our Privacy Policy, as updated from time to time and this Statement.

How we collect your information for your application

We will usually collect information for your application directly from you via our account opening software, LABform. Sometimes we will need to source personal information about you from a third party such as a credit reporting agency or government agency.

If you choose not to provide information as requested, we may not be able to provide the relevant services. For example, if you do not provide your name to us, we will not be able to process your application and open an account, as we cannot verify your identity (which we have both legal and regulatory obligations to do so).

What personal information we collect

We collect personal information about you that we need in order to provide account opening, account management and to verify your identity.

This personal information may include, but is not limited to your name, date of birth, contact details, tax file number, Medicare number or other government identifier, financial information, employment, credit history and transaction history.

How we use your personal information

We use the personal information we collect about you, in your application for the following purposes:

- to process your application;
- for the purposes described in our share trading terms and conditions;
- to verify and authenticate your identity;
- to verify the accuracy of the information you have provided, e.g. your tax file number or Medicare number;
- to perform administrative and operational functions;
- to comply with any legal and regulatory requirements, including any purpose authorised or required by an Australian or international law, court or tribunal; and
- for any other purposes, as described in our Privacy Policy for which you give your consent.

Who we disclose your personal information to

We may provide some of your personal information to:

- the third party service providers we use to help us provide our services e.g. our account opening software provider, LAB Group, credit reporting bodies, government agencies, external data storage providers etc. We only send your information overseas to the extent that it is necessary to perform our functions or activities. Where we do this, we make sure that appropriate data handling and security arrangements are in place. A full list of the countries that we may send information to are listed in our Privacy Policy. We will take reasonable steps to ensure that they do not provide your information to anyone who will not protect it in a similar way to us;
- our related bodies corporate. We require anyone to whom we provide your personal information to manage it in accordance with this Statement and our Privacy Policy;
- cash management account providers, provided you have asked us to share your information with them to enquire about opening an account;
- our professional advisers, dealers and agents; and
- third parties, where we are required to do so by law or under some circumstances which are permitted under the *Privacy Act 1988 (Cth)*.

Data aggregation

We and our account opening software provider, LAB Group, may choose to de-identify and aggregate certain information we hold about you for our respective internal purposes. This might include obtaining insights about our business and identifying opportunities for improvement in our services and the account opening process. We take steps to ensure that any such aggregated information is not re-identified.

Security of your personal information

We will take all reasonable steps to ensure that your personal information is stored safely and securely. We protect your personal information by restricting access to your personal information and by securely destroying or de-identifying your information when we are legally required to do so. More information about how we secure personal information can be found in our Privacy Policy.

Updating your personal information

If you wish to access, correct or update your personal information, please contact us on 1800 252 351.

Complaints about breaches of privacy

If you are not satisfied with the way in which we handle your personal information, you may complain to us via our dedicated team on 1300 302 449. We will investigate your complaint and write to you to explain our decision as soon as practicable.

External review

If you are not satisfied with our decision relating to the handling of your personal information, you can refer your complaint to the Office of the Australian Information Commissioner by phone on 1300 363 992 or online at www.oaic.gov.au.


You may also contact the Australian Financial Complaints Authority (AFCA) which offers a free and independent dispute resolution service. You can contact AFCA on 1800 931 678, online at www.afca.org.au or write to Australian Financial Complaints Authority, GPO Box 3, Melbourne VIC 3001.

Changes to this Statement

We may, from time to time, amend this Statement. Any changes to this Statement will be effective immediately upon the posting of the revised Statement on our website. Please check our website regularly for any of these updates.

Australian Investment Exchange Limited ABN 71 076 515 930, AFSL 241400 ('AUSIEX') is a wholly owned subsidiary of Nomura Research Institute, Ltd. ('NRI'). AUSIEX is a Market Participant of ASX Limited ('ASX') and Cboe Australia Pty Ltd ('Cboe'), a Clearing Participant of ASX Clear Pty Limited and a Settlement Participant of ASX Settlement Pty Limited. All trading, clearing, settlement and CHES sponsorship arrangements are held directly with AUSIEX.

Have questions? Connect with us.

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