

Australian Stock Report: Privacy Policy

Australian Stock Report is committed to protecting your privacy and the confidentiality of personal information (e.g. your full name, address, contact details etc) we collect and hold about you. This commitment is fundamental to the way we do business.

Australian Stock Report has systems and procedures in place to protect your privacy whenever we collect, store, use or disclose your personal information. You can request details about the information we hold about you and you have the right to ask us to correct that information.

This Privacy Policy explains our systems and procedures, and provides information on all relevant issues, including how to make a complaint and your rights to access and correct the information we have about you. If you need any part of it explained, please ask.

Privacy Legislation and the National Privacy Principles

Australian Stock Report is bound by the National Privacy Principles set out in the Privacy Amendment (Private Sector) Act, 2001. This Privacy Policy reflects our commitment to those principles.

Definitions

In this Privacy Policy, a reference to:

"ASIC" means the Australian Securities & Investment Commission.

"ASX" means Australian Stock Exchange Ltd.

"AUSTRAC" means Australian Transaction Reports and Analysis Centre.

"Australian Stock Report", "we", "our", and "us" means Australian Stock Report Pty Ltd (ACN106 863 978) or any of its employees or Office holders.

"Financial Products" means shares, bonds, bank bills, convertible notes, units in managed investment schemes, related derivatives and other equity or debt financial products whether listed or unlisted.

"You" and "your" refer to the individual whose information we collect and hold for our purposes.

What sorts of personal information do we hold about you?

As an Australian Financial Services Licensee we are subject to legislative and other regulatory requirements which oblige us to obtain and hold information which personally identifies you.

Personal information about you will usually be collected over the telephone, on-line or during face to face interviews.

In general, the nature of personal information collected and maintained, as a minimum, includes name, residential and postal addresses, contact details (including phone numbers, fax and e-mail address) and credit card details.

Your information must be accurate

We take reasonable steps to ensure that your personal information is accurate, complete and up-to-date at the time of collection, use or disclosure. In accordance with commercial practice and To assist us with this, please contact us if any details you have provided change.

How do we use your personal information?

We only collect personal information about you to the extent that it is necessary to perform our services and activities.

Australian Stock Report will use the personal information collected for the purpose of commencing and maintaining you as a subscriber.

Australian Stock Report may also use your personal information for any secondary related purposes in circumstances where you would reasonably expect this to be the case (e.g. mail-outs of direct marketing material about our products or services that may be of interest to you; facilitating authorised direct credits/debits with your Bank or other financial institution).

If you do not consent to your personal information being used as described above or if you do not provide the personal information requested, this may affect our ability to provide some or any of our advisory or transactional services to you.

Your consent to use and disclosure is important

Subject to what is stated below, personal information is usually used or disclosed only after obtaining your consent. Your consent can be express (i.e. verbal or written) or implied. You imply consent when we can reasonably conclude that you have given consent by some action you take or by not taking some action.

Do we usually disclose information to other organizations or people?

We will not disclose information about you unless:

- required by law or if requested to do so by any regulatory authority (e.g. ASIC, AUSTRAC, the Courts, Australian Tax Office) which holds the power to order us to disclose information about your account/s);
- authorised by law (e.g. to protect our interests or where we have a duty to the public to disclose); or
- you have consented to our disclosing the information about you.

In fulfilment of our services to you, we will be required to disclose your personal information to:

- Our service providers (such as software providers, delivery companies and mail-houses).
- Where relevant, your executor, administrator, trustee, guardian or attorney.
- Entities we use for printing and dispatch of reports, newsletters and other services we provide to you.
- Credit reference agencies and debt collection agencies where you fail to meet your contractual obligations.
- Your bank or other financial institutions for direct credits or debits.
- Your agents, including your legal or financial advisers, or those who have referred you to us.
- Auditors, external advisers, consultants and other contractors to whom certain functions and activities are contracted. In these circumstances, confidentiality arrangements apply and we prohibit them from using your personal information except for the specific purpose for which it needs to be accessed or supplied.

Marketing and Privacy – Do you want to hear about new or current services?

We may contact you from time to time to tell you about new or existing services that may be of interest to you.

You can contact the Compliance Manager at Australian Stock Report at any time if you do not want to be contacted or receive marketing material, or if you do not want us to pass information about you to other business units. We will process these directions as soon as practicable.

We do not sell mailing lists. We do not disclose names and addresses to third-parties for the purposes of allowing them to market their products and services to you unless the Australian Stock Report holds a mutual relationship in which we may disclose your name & contact details where it would be reasonably expected by you.

Personal Information Security

Australian Stock Report recognises how important the privacy of your personal information is to you and we undertake to store that information in a secure manner. We will protect personal information from unauthorised access, modification and disclosure; misuse and loss; and (subject to record retention regulations) destroy or permanently de-identify personal information we no longer need.

Please note that even if we are no longer providing services to you we are obliged due to legislative and regulatory requirements to retain your personal information in a form which does identify you for a period of up to 7 years.

You can request access to personal information we hold about you.

Where you are entitled to access, the time we require before giving you the information or access will depend on the type of information requested. If we can, we will answer your question immediately. We will also try to answer you in the same way that you ask, for example, if you telephone to ask for the information we will, if practicable, give you that information over the telephone. We will usually respond to a written request in writing.

Sometimes, we will ask that you put your request in writing, for example, where it is necessary for us to retain a record of your request or where you want copies of material or access to older information or files which are not current.

We may ask you to identify yourself to our satisfaction.

In some circumstances, we may charge a fee for giving you access, which will vary but will be based on our costs (internal and external) in locating the information and the form of access you require. If we propose to charge a fee for giving access, we will give you an estimate of the fee so you can confirm that you still want us to give you access to the information. We do not impose any charge for lodging a request for access.

If we are entitled under the National Privacy Principles to refuse to give you access, we will tell you and provide reasons (e.g. access would infringe the privacy of others, the information relates to anticipated legal proceedings, the law prevents us from doing so).

What if some of the information Australian Stock Report holds is incorrect?

Please tell us. We want and we need our records to be accurate, complete and up-to-date. Unless we disagree with you about the accuracy or completeness of a record, we will generally correct it on

request (or suggest alternative arrangements for updating our records). If we disagree with you, we will give you our reasons.

How do I make further enquiries or complain about a breach of privacy?

If you require more information about the way we manage personal information or wish to make a complaint about a breach of your privacy, please contact us (see below for details) and ask to speak to the Compliance Manager.

Contact the Australian Stock Report Compliance Manager

Email: support@australianstockreport.com.au

Phone: 1300 720 292.

Mail: Compliance Manager

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