

# Privacy Policy

1 OCTOBER 2020

## **Our commitment**

Your privacy is important, and Lewis Financial Services Licence Pty Ltd ('Lewis Financial') is committed to protecting any personal and sensitive information that you provide to us. This document explains what information Lewis Financial obtains from you, how we obtain and use that information, and how we safeguard your privacy. We are bound by and committed to upholding the National Privacy Principles set out in the Privacy Act 1988.

## **Information we collect**

Lewis Financial needs to obtain personal and possibly sensitive information from you to provide you with financial services and products. Without this information we may not be able to provide you with these services.

## **Personal information**

If you are a client of Lewis Financial, or are interested in our services, we collect information about you that is relevant and necessary in order for us to provide you with quality advice. The types of information we collect will depend upon the type of advice you request and may include information about your personal objectives, financial position, health, lifestyle and financial needs. Your advisor and support staff will request this information from you.

## **Sensitive information**

If we are providing you with advice on personal life insurance, we also collect health, medical and lifestyle information. This information is collected for life insurance providers to enable them to assess your life insurance application. We will ensure that this sensitive information is held at a secure location and only accessed by personnel who require this information to process your insurance application. Your Tax File Number (TFN) is governed by special legislation and is also protected when you provide it to us. We will not obtain, use or disclose information

about your racial or ethnic origin, political opinions, memberships of a political association, religious beliefs or affiliations, philosophical beliefs, memberships of a professional or trade association or trade union or criminal record unless you have given us written consent to do so or unless required by law.

## **How we collect information**

Lewis Financial collects personal and sensitive information when you complete an Introductory Questionnaire data collection document or an application form, when you give us information by telephone, internet or in writing, or through discussions with your advisor and support staff. We may also collect information from our website ([www.lewisfinancial.com.au](http://www.lewisfinancial.com.au)) for internal purposes but not information that can identify you. This may include the number of users who visit the site, date and time of visits, number of pages viewed and traffic patterns. To collect this information we use 'cookies', or small computer data files that are saved on your hard drive. These cookies do not contain any personal identifying information. In addition, we may collect information about you on behalf of another person such as your spouse, your children, or the name of a friend or colleague that you may decide to refer to us. In this case, it is your responsibility to tell them of your disclosure and that they may access their information held by Lewis Financial.

## **Use and disclosure of information**

The information you give us is confidential for use within the Lewis Financial group of companies. We will not reveal, disclose, sell, distribute, rent, licence, share or pass your information to third parties, other than to service providers contracted to Lewis Financial under strict confidentiality arrangements. Disclosure to service providers, such as stockbrokers, fund managers or administrators, may be necessary for you to receive services from us. If you

choose to go with our recommended provider we will only disclose to them your personal information, where you have given us consent to do so. Your advisor will also have access to the information that you provide to us, until you tell us that you no longer have a relationship with that advisor. We may also provide information to your accountant or lawyer when required to implement financial advice, or on request. Lewis Financial may also use your personal information to communicate with you about your investments, to tell you about new products and services that may be useful to you, or to send you newsletters. If you do not wish to receive this information, please notify us so that we can remove you from our mailing list.

### **Security of information**

We will take all reasonable security measures to protect the personal and sensitive information that we collect and hold from misuse, loss and/or unauthorised access, modification or disclosure. All computer-based information is protected through the use of access passwords on each computer. Data is backed up each evening and stored securely offsite. In the event that you cease to be a client of Lewis Financial, any personal or sensitive information that we hold about you will be maintained on secured premises for a period of 7 years in compliance with legislative and professional requirements. After this period, the information will be destroyed securely.

### **Access to your personal information**

Generally, you may access any personal or sensitive information Lewis Financial holds about you by contacting us. If applicable, a fee may apply for any costs incurred

such as photocopying, administration and postage costs. All access requests will be completed within thirty (30) days.

### **Anonymity**

The nature of financial services does not lend itself to treating clients with anonymity. All transactions require personal information about the individual for whom the transaction is being completed. In some cases, however, such as handling enquiries about our services from potential clients, we can do so anonymously.

### **Complaints resolution**

We are committed to providing clients and prospective clients whose personal information we hold, a fair and responsible system for the handling of complaints. If at any time you have any concerns or complaints in relation to your privacy you should take the following steps:

- Contact us on 02 4751 4300.
- If we cannot reach a satisfactory resolution, you may refer your concerns to the Office of the Australian Information Commissioner on 1300 363 992 or online at [oaic.gov.au](http://oaic.gov.au) who may investigate your complaint further.
- Alternatively, if your complaint is about the services we provide you can contact the Australian Financial Complaints Authority on 1800 931 678, in writing to Australian Financial Complaints Authority, GPO Box 3, Melbourne VIC 3001 or online at [info@afca.org.au](mailto:info@afca.org.au). There may be a time limit for referring your complaint to AFCA. You should contact them or visit their website for more details.