



FORTREND  
SECURITIES

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## ***Privacy Policy***

*Version 1.2*

**14 November 2011**

## ***About this Policy***

Your privacy is important to you. Fortrend Securities – Fortrend Wealth Management provides this document to you to help you understand how we collect, store, use and disclose of your personal information in the course of providing advice to you.

Fortrend Securities Pty Ltd abides by the National Privacy Principles established under the Privacy Amendment (Private Sector) Act, 2001. A summary of the National Privacy Principles is available by contacting our office. Our contact details are provided at the end of this document.

## ***Collection***

As your investment and financial advisers, there are a number of legislative and regulatory requirements which we are subject too. To facilitate the provision of personal advice to you, it is essential that we gather sufficient information which enables us to gain a detailed understanding of your circumstances, financial position, aims and objectives. This information includes but is not limited to:

- details of your financial circumstances, needs, objectives (including your assets and liabilities, both actual and potential), income and expenditure;
- details of your insurance cover
- details of your superannuation and other investments
- details of your investment preferences and your aversion or tolerance to risk;
- tax file numbers;
- information about your current employment and employment history, family commitments and social security eligibility;

Not only is the above information a requirement of ours to facilitate this advice, it is also a requirement under the Corporations Act. This is to ensure that the advice is appropriate and specific to your situation.

It is important to understand you are under no obligation to provide this information to us, however you should be aware that without the requested information referred to above, the likelihood that the advice provided may not be suitable to your needs is greatly increased. Furthermore, you should be aware that if you choose to withhold or provide inaccurate information, Fortrend Securities, its advisers and representatives can not and will not be held responsible for adverse outcomes which result as a direct or indirect consequence of this.

## ***Information Collection Policies***

Fortrend Securities – Fortrend Wealth Management will only collect, maintain and use personal information about you if it is necessary for us to adequately provide the services you have requested including:

- the provision of financial planning advice to you;
- making and reviewing securities, investment and insurance and estate planning recommendations;
- Self Managed Superannuation Fund Administration.

## ***Information use and disclosure policies***

Fortrend Securities – Fortrend Wealth Management will not use or disclose personal information collected by us for any purpose other than:

- the purposes for which it was provided or a secondary related purpose where you would reasonably expect us to use or disclose the information; or
- where you have consented to such disclosure; or

- where required or authorised under law, in circumstances relating to public health and safety and in connection with certain operations by or on behalf of an enforcement body.

The Corporations Act requires financial service providers such as Fortrend Securities to maintain certain records of transactions and provide access to those records when requested by the Australian Securities and Investments Commission. From time to time certain professional bodies may also require compliance and financial audits to be conducted to ensure that Fortrend Securities – Fortrend Wealth Management conducts its practice inline with the Professional Conduct of that Association such as the Financial Planning Association of Australia. In such instances we will be required to make certain information available for inspection by the Association/s on request. In addition, we may also contract external parties to conduct compliance or financial audits. This may involve the disclosure of your personal information.

It is also our practice to keep clients of Fortrend Securities up to date on the latest developments which may impact their particular circumstance. In these cases we may use the personal information collected from you for the purpose of providing you with direct marketing material such as articles that may be of interest to you. You do, however, have the right to request that such information ceases to be sent. Should you choose so we ask that you please allow 2 weeks for your request to be actioned.

It is also likely that should you require superannuation, investment, insurance, mortgage or other professional services or advice, that in the course of providing and arranging that advice and implementing those recommendations, we may also disclose your personal information for the purpose of giving effect to your advice.

### ***Document storage and security policies and practices***

Personal information which we obtain from you is generally held on our premises in our client files. This information is also likely to be stored on our computer database system.

Personal information collected and held by us will be maintained in such a way to ensure that it is protected from misuse, loss, unauthorised access, modification or disclosure. We will seek at all times to ensure your personal information is treated as confidential and any sensitive information is treated as highly confidential.

From time to time it will be required for us to move record off site. Where this is necessary a record of all information will be maintained on a central register. All computer-based information is protected through the use of access passwords on each computer. Data is backed up each evening and stored securely off site.

Should you cease to be a client of Fortrend Securities – Fortrend Wealth Management, any personal information that we hold about you will be maintained on site or in a secure off site storage facility. As another legislative and professional requirement records will be kept for a period of 7 years or greater. Investors who invested in a syndicate or scheme, will have their records maintained for a minimum period of 7 years after the completion of the syndicate or scheme.

### ***Gaining access to your personal information***

You have the right to request access to your personal information at any time. Evidence of your identity will be required prior to us providing access to your personal information.

Access to your personal information will be provided either by us providing you with copies of the information requested, allowing you to inspect the information requested, or providing you with an accurate summary of the information held.

You do not have the right to access proprietary or in house formulae or our decision making process, but instead we can provide you with the results of those processes and an explanation of the results.

Under the National Privacy Principles, Fortrend Securities - Fortrend Wealth Management has the right to refuse access to your personal information where the provision of access would have an unreasonable impact on the privacy of others, that the request for access is frivolous or vexatious or that the provision of access is unlawful. We will provide you with an explanation for that refusal should this occur.

### ***Access and correction***

Should personal information that we hold about you be considered inaccurate, incomplete or out of date and you can provide us with evidence that this personal information is inaccurate, incomplete or out of date, and we agree that the information requires correcting, we will take all reasonable steps to correct it.

### ***How a privacy complaint may be made***

We are committed to providing you with a fair and responsible system for handling complaints. If at any time you have any complaints in relation to privacy, please contact our Compliance / Privacy Officer at one of the points referred to below. We will try to resolve any concerns you may have to your satisfaction within 7 days; however, if you are unhappy with our response you are entitled to contact the Office of the Privacy Commissioner who may investigate your complaint further.

Our Contact Details:

The Compliance / Privacy Officer  
Address: Level 41, 55 Collins Street, Melbourne VIC 3000  
Telephone: (03) 9650 8400  
Facsimile: (03) 9650 8740  
E-mail: [dfowler@fortrend.com.au](mailto:dfowler@fortrend.com.au)

Additional information about privacy in Australia may be obtained by visiting the web site of the Office of the Federal Privacy Commissioner at <http://www.privacy.gov.au>

**FORTREND SECURITIES PTY LTD**

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