



**BNP Paribas Securities Services,  
Australia branch**

**Privacy Policy**



## **BNP Paribas Securities Services, Australia branch - Privacy Policy**

This is the Privacy Policy of BNP Paribas Securities Services (**BPSS**) and all subsidiaries of BPSS registered in Australia (**we** or **us**). We are APP Entities which are bound by the Australian Privacy Principles.

This Privacy Policy relates to personal information and unless otherwise expressly stated, this policy is relevant to the personal information of: (a) individuals who are employees or officers of our current, prospective or former customers; (b) individuals who are employees or officers of any agent or delegate of such customers; and (c) other individuals we may deal with in our role as a service and product provider, (**you**). The employee records exemption under the Privacy Act 1988 (*Cth*) (**Privacy Act**) applies to employee records held by us.

### **Personal Information**

Personal information is information or an opinion about an identified individual, or an individual who is reasonably identifiable, whether the information or opinion is true or not and whether the information or opinion is recorded in a material form or not.

### **Personal Information Collected From You**

We may obtain personal information from you directly or otherwise through our customers or prospective customers or their agents or delegates. The type of information that we collect will depend on what products and services our customers or prospective customers wish to use. Such information may include your name and address, telephone number(s), email and other electronic addresses, occupation, assets, details about your business dealings, information about your dealings with us, our affiliates or third parties, government identifiers such as your ABN, tax file number, Medicare card number, passport number or pension card number and other details relating to your relationship with us. If you provide incomplete information we may not be able to provide any customer or prospective customer (on whose behalf you are acting) with the products or services being requested.

### **How We Use Personal Information Collected From You**

We collect, use and disclose your personal information as reasonably necessary and as permitted by law. We would generally collect, use and/or disclose your personal information for the following purposes:

- complying with our legal, audit, regulatory and compliance requirements;
- complying with BNP Paribas group policies and procedures;
- processing an application or request for products and services (including verifying a customer or prospective customer's identity for compliance purposes);



- servicing our customers;
- performing our administrative operations, including accounting, risk assessment, risk management, record keeping , archiving, customer reporting, internal reporting, customer invoicing, systems and infrastructure maintenance and development, business continuity and disaster recovery processes and testing;
- delivering our products and services to our customers, including the processing of customer instructions;
- understanding our customers' and prospective customers' needs and offering products and services to meet those needs;
- allowing our affiliates to promote their products and services to our customers and prospective customers;
- conducting market or customer satisfaction research;
- inviting you to events that may interest you; and
- dealing with complaints.

We may also use and/or disclose your personal information for the purposes of preventing, detecting and protecting ourselves from error, fraud and any other legal, compliance, financial or regulatory risks.

To the extent that we sub-contract or delegate functions and activities to other BNP Paribas group entities (including any other branches of BPSS) and to external service providers/vendors, your personal information may be disclosed to such parties. We will prohibit such parties from using your personal information except for the specific purpose(s) for which we supply it.

We may also disclose your personal information to:

- insurers and external advisers we engage from time to time to carry out or advise on our functions and activities;
- investment managers and broker/dealers acting for an on behalf of our customers;
- regulatory, government, taxation and other authorities; and
- stock exchanges, securities depositories, and settlement, clearing and payment service providers and systems.

Some of these parties to whom we disclose your personal information may be located outside of Australia. It is not reasonably practicable to list all of the countries to which your personal information may be transferred from time to time but it is likely that such countries will include India, Hong Kong, Singapore, New Zealand, France, United Kingdom, Luxembourg, Poland, Portugal and the United States of America.

Except where it is required by law or where otherwise permitted by the Privacy Act, we only use or disclose your personal information with your express or implied consent. We obtain your consent in various ways. For instance, we may obtain your consent to use or disclose your personal information from your employer or from an agent acting on your behalf, or on an



application form that you complete for one of our products or services. If at any time you supply us with personal information about another person, you should ensure that you are authorised to do so and you must agree to inform that person who we are, that we will use and disclose that personal information and that they may gain access to it should we hold that information.

We do not disclose names and addresses to third parties for the purpose of enabling such third parties to directly market their products and services.

If you do not provide us with your personal information when we ask for it, we may not be able to provide you (or any entity on whose behalf you are acting) with our products and services.

### **How Your Personal Information is Kept Up-to-Date and Requesting Correction of Your Personal Information**

We take reasonable steps to ensure that your personal information is accurate whenever we collect it or use it.

If you find that personal information we hold about you is inaccurate, you have rights under the Privacy Act to request that we correct that information. If you would like to do so please contact our Head of Compliance using the contact details below.

### **How You Can Access Your Personal Information**

You are entitled under the Privacy Act to access personal information that we hold about you by contacting our Head of Compliance using the contact details below. If possible, we will provide you with the information you request. However, we may deny access to personal information in certain circumstances, in accordance with the Australian Privacy Principles.

We will generally provide you with such information within a reasonable time frame. We may charge you a reasonable amount to provide a copy of your personal information.

### **Storage and Security of Your Personal Information**

We protect any personal information that we hold, from misuse and loss and we also protect it from unauthorised access, modification and unauthorised disclosure. Your personal information may be stored in hard copy documents, as electronic data or in our information technology software and/or systems.



## Complaints Procedures

If you have a complaint that relates to the privacy of your personal information then please contact the Head of Compliance using the contact details below. We will respond to your complaint as soon as possible, in any event within five working days, to let you know who is dealing with your complaint. We will endeavour to ensure that the complaint is properly considered and dealt with within 45 working days of receipt thereof.

### Head of Compliance Contact Details

Phone: +61 (2) 9222 0484

Fax: +61 (2) 9222 0177

Mail: Attn: Head of Compliance  
BNP Paribas Securities Services  
Level 6, 60 Castlereagh Street  
Sydney, NSW 2000  
Australia

BNP Paribas Securities Services

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