

**SECURITIES EXCHANGES GUARANTEE
CORPORATION LIMITED**

PRIVACY POLICY STATEMENT

October 2016

Securities Exchanges Guarantee Corporation Limited
ABN 19 008 626 793
Level 21, 264 George Street
Sydney NSW 2000

1. DEFINITIONS

1.1 In this document the following words have the following meanings:

personal information means information or an opinion (including information or an opinion forming part of a database), whether true or not, and whether recorded in a material form or not, about an individual whose identity is apparent, or can reasonably be ascertained from the information or opinion.

we, our or **SEGC** means Securities Exchanges Guarantee Corporation Limited ABN 19 008 626 793.

2. COMMITMENT TO AUSTRALIAN PRIVACY PRINCIPLES

2.1 SEGC is committed to protecting the privacy of personal information in accordance with the Australian Privacy Principles.

2.2 This document sets out our policies on the management of personal information that SEGC collects, handles and uses.

3. WHAT SORT OF INFORMATION DO WE COLLECT?

3.1 SEGC only collects personal information to enable it to perform the functions and exercise the powers that are conferred on it by Part 7.5 of the Corporations Act 2001 and the Corporations Regulations 2001.

3.2 If an individual has submitted or is in the process of submitting a claim on the National Guarantee Fund, or they are enquiring about a possible claim, we will generally hold the following information about them:

- their name, occupation and contact details;
- the circumstances giving rise to the claim;
- details of the relationship between them and their financial advisor or stockbroker;
- financial information including bank account details and shareholder information including SRN or HIN details.

4. WHAT HAPPENS IF AN INDIVIDUAL DOES NOT PROVIDE US WITH INFORMATION?

4.1 If an individual does not provide us with some or all of their personal information, it may affect our ability to process their claim or answer their enquiry.

5. WHO DO WE COLLECT PERSONAL INFORMATION FROM?

5.1 Where it is reasonable and practicable to do so we only collect personal information about an individual directly from that individual. We may also obtain personal information about them from someone else, such as stockbrokers, financial advisors, share registries or Australian Securities Exchange Limited (ASX) or its subsidiaries.

5.2 Wherever it is lawful and practicable, we give individuals the option of not identifying them self when entering transactions with us. However, failure to provide sufficient information may affect our ability to process a claim or answer an enquiry

6. HOW DO WE COLLECT THIS INFORMATION?

6.1 Personal information is obtained in a number of ways including from claim forms, telephone conversations, correspondence (including by email) and face to face meetings.

6.2 We only collect personal information by lawful and fair means. We do not collect personal information in an unreasonably intrusive way.

6.3 Unsolicited personal information received from third parties that does not serve an appropriate purpose will be destroyed.

7. HOW DO WE HOLD PERSONAL INFORMATION?

7.1 SEGC holds personal information in both electronic and paper based form.

7.2 We treat personal information as confidential and take reasonable steps to protect the personal information we hold from misuse, loss, interference and unauthorised access, modification or disclosure.

7.3 We do so in a number of ways including:

- physical safeguards – we have physical and procedural measures to prevent unauthorised entry to our premises and unauthorised access to our information;
- computer and network safeguards – we adopt measures to protect the integrity of our computer systems and protect personal information from interference, unauthorised access, modification and disclosure
- personnel and procedural safeguards – we adopt procedural and personnel measures for limiting access to personal information by authorised staff for approved purposes and controls to minimise security risks to our IT systems.

7.4 We take reasonable steps to destroy or permanently delete personal information once the personal information is no longer required by SEGC.

8. WHAT DO WE DO WITH THE INFORMATION?

8.1 SEGC uses the personal information collected by it for the primary purpose for which it was collected, namely performing the functions and exercising the powers that are conferred on it by Part 7.5 of the Corporations Act 2001 and the Corporations Regulations 2001 (the primary purpose of collection).

8.2 In performing these functions SEGC may disclose personal information to other organisations including:

- SEGC's professional advisers including legal representatives and auditors;

- stockbrokers, share registries and financial advisors;
- enforcement and regulatory bodies such as State and federal police forces and the Australian Securities and Investments Commission;
- ASX and its subsidiaries;

8.3 We will not use or disclose personal information about an individual for a purpose other than the primary purpose of collection unless one of the exceptions contained in Australian Privacy Principle 6 applies.

8.4 If necessary, where we use or disclose personal information under paragraph 8.3 we make a written note of the use or disclosure.

9. ACCESS TO INFORMATION

9.1 If an individual asks us, we take reasonable steps to let them know, generally what sort of personal information we hold, for what purposes and how we collect, hold, use and disclose that information.

9.2 An individual can ask us to provide them with access to the personal information that we hold about them. We will provide them with access to that information unless one of the exceptions contained in Australian Privacy Principle 12 applies.

9.3 If we are not required to provide an individual with access to the information because of one or more of those exceptions applies we will, if reasonable, consider whether the use of mutually agreed intermediaries would allow sufficient access to meet both our needs and those of the individual seeking access to the information.

9.4 Where providing access would reveal evaluative information generated by us in connection with a commercially sensitive decision-making process we may explain, as far as possible, the reasons for the decision rather than give an individual direct access to the information.

9.5 If we deny access to personal information we will give reasons for our decision.

10. CHARGES

10.1 We do not charge for providing access to personal information.

11. ACCURACY AND CORRECTION OF PERSONAL INFORMATION

11.1 We take reasonable steps to ensure that the personal information that we collect, use or disclose is accurate, complete and up to date.

11.2 If we hold personal information about an individual and they are able to establish that the information is not accurate, complete and up to date, we take reasonable steps to correct the information.

11.3 If we refuse to correct personal information we will provide reasons for our refusal to do so.

11.4 If we disagree with an individual about whether the information is accurate, complete and up to date and they ask us to associate with the information a statement claiming that the information is not accurate, complete or up to date then we take reasonable steps to do so.

12. CONTACT DETAILS

12.1 If you would like any further information about SEGC's privacy policy, or if you wish to make a complaint about possible breaches of your privacy, you can contact SEGC or SEGC's General Counsel on:

Email	segc@segc.com.au
Phone	02 8216 0231
Postal Address	GPO Box 3973 Sydney NSW 2001
Registered Address	Level 21, Australia Square 264 - 278 George Street Sydney NSW 2000

13. FURTHER INFORMATION ON PRIVACY

13.1 **For more information generally about privacy issues in Australia, you may like to visit the Office of the Australian Information Commissioner's website at www.oaic.gov.au**