

# Privacy Collection Notice

Australian Ethical Investment Ltd ("Australian Ethical") is committed to protecting the privacy of your personal information in accordance with the *Privacy Act 1988* (Cth). Our Privacy Policy details how we collect, hold, use, disclose and keep your personal information secure. Our Privacy Policy is readily available and can be viewed at: [www.australianethical.com.au/privacy-policy](http://www.australianethical.com.au/privacy-policy). Please read this Privacy Collection Notice to see how we will use the personal information you are providing us with.

## WHAT TYPES OF INFORMATION DO WE COLLECT AND WHY?

### Personal information

Australian Ethical collects personal information from you when you invest in our managed funds. The personal information that Australian Ethical collects from you may include your name and address, date of birth, contact details and your Tax File Number ("TFN").

The primary purpose for collecting this information is:

- a. To establish and administer your managed fund account, including processing applications to purchase and redeem units on your behalf and regularly communicating with you about your account;
- b. To comply with the customer identification and verification procedures required by the *Anti-Money Laundering and Counter-Terrorism Financing Act 2006* (Cth);
- c. Where your TFN has been provided, to report to the Australian Taxation Office and to deduct tax at the applicable tax rate when paying distributions;
- d. To send you relevant information on the products and services to which your membership gives you access.

We may also use your personal information for the secondary purposes of conducting market research and analysis, developing products, meeting regulatory obligations and processing competition or promotion entries. Australian Ethical collects additional personal information from you by other means from time to time, for example when you change your investment. Australian Ethical may also need to collect personal information about you from other parties where relevant, such as your financial adviser.

The collection of your personal information is authorised under various laws that deal with financial products, anti-money laundering and tax. If you choose not to provide the personal information that we ask for, or the information that you provide to us is incomplete or inaccurate, it may mean that Australian Ethical will be prevented from efficiently managing your investment account, offering you the full range of benefits and services that may be available to you and maintaining contact with you.

### Who do we disclose personal information to and why?

Generally Australian Ethical will only disclose your personal information for the purposes for which it was collected. The organisations and people to whom we may disclose your personal information include:

- a. Our service providers and any of their sub-contractors, for the purpose of establishing and administering your investment account;
- b. Your potential beneficiaries, legal personal representative or estate in relation to a distribution of your investment account upon your death;
- c. Your financial adviser;
- d. Government institutions and regulatory authorities including the ATO, ASIC and AUSTRAC;
- e. Courts and tribunals, including the Financial Ombudsman Service;
- f. Independent consultants and market research companies, for the purpose of conducting data analysis and market research with respect to our products and services;
- g. Mail houses to send you information about your investment account via mail, SMS and email.

Our web hosting company may be given access to your personal information as part of their engagement to host and manage our websites. Our web and application developers may be given access to your personal information as part of developing applications for, and enhancing, our websites and testing that our applications and websites are working properly.

We use an external service provider based in the USA to deliver emails to you. In order for them to provide the service, we share your name, email address and investor number with them. If you do not wish to receive marketing material from us, you can contact us using the details provided below or use the unsubscribe function on electronic communications.

Where your personal information is disclosed to service providers and other organisations, Australian Ethical seeks to ensure that your personal information is handled in accordance with privacy laws and is not used or disclosed for any purpose other than those to which you have consented (unless otherwise required by or under an Australian law or court/tribunal order).

### Do you have any queries or complaints?

Our Privacy Policy, which can be found on our website, contains information about how you may access your personal information held by us and seek correction of such information. It also contains information about how you may complain about a breach of the Australian Privacy Principles and how we will deal with such a complaint.

If you have any questions about the personal information that is being collected, or you have any complaints about our handling of your personal information, please contact our Privacy Officer on:

Phone: 1800 021 227

Email: [privacy@australianethical.com.au](mailto:privacy@australianethical.com.au)

Address: GPO Box 8, GPO Box Centre, Sydney 2000

Australian Ethical reserves the right to modify this Privacy Collection Statement and our Privacy Policy from time to time to reflect our current privacy practices. You should regularly review the most recent version of our Privacy Policy available on our website.

## Contact us

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