

PRESCOTTFACTS

PRIVACY POLICY

Prescott Securities is committed to complying with the provisions of the Privacy Act (December 2001).



We may collect information from you for the following purposes:

- Provision of wealth management, financial planning, stockbroking, personal insurance, and loans/ mortgages both initially and on an ongoing basis;
- Completion of associated documentation and application forms: including anti money laundering requirements;
- To provide agreed services to assist in meeting your requirements, goals and objectives;
- To market services that may be supplied by Prescott Securities or by other suppliers, which may be of interest to you, unless informed not to do so.

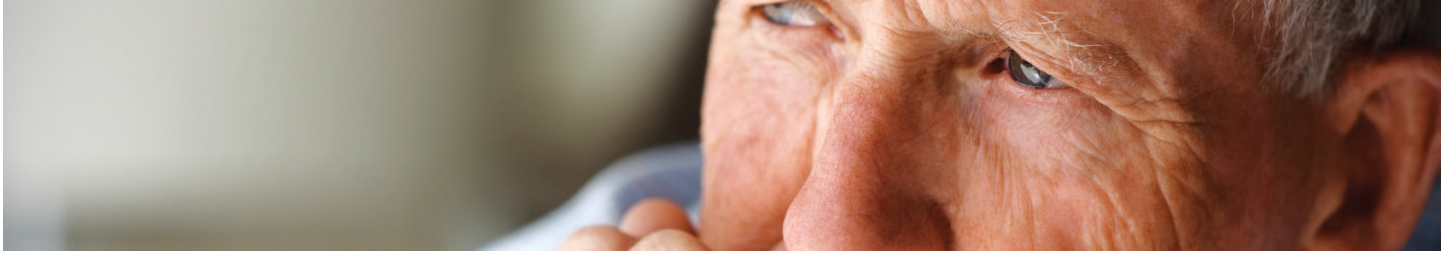
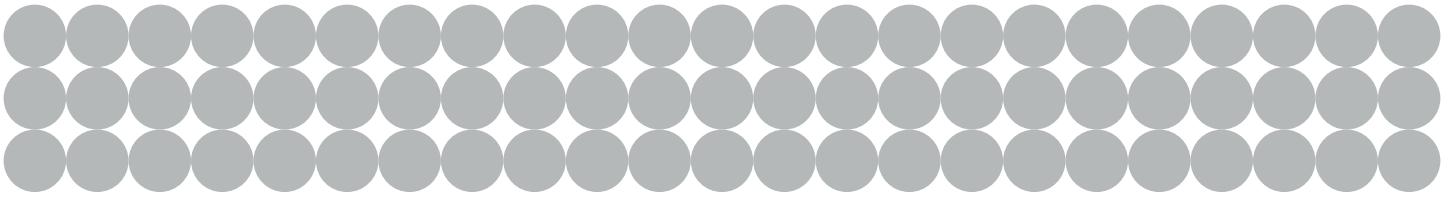
Prescott Securities is required to collect certain information from you in order to provide the range of services noted above. This requirement is included in but is not limited to, the Corporations Act, Superannuation Guarantee Act, Income Tax Assessment Act, certain regulations issued by the Australian Securities and Investments Commission, as well as, the Rules of Professional Conduct of the Financial Planning Association.

Whilst you are not obliged to provide us with the information requested, if you decline to do so, we may be unable to provide the level of service and advice required and expected of us. In connection with the provision of services, it may be necessary for us to disclose your personal information to other professionals and organisations such as:

- Financial institutions (including fund managers, life companies, superannuation trustees and share brokers, etc);
- Government departments eg Australian Taxation Office and Centrelink;
- Associated companies and internal divisions of the WHK Group, to assist in the provision of client services;
- External service providers and auditors.

We undertake not to use or disclose information collected, for purposes other than those detailed above or related purposes, unless the law requires the disclosure or you have provided us with consent to do so.

Prescott Securities recognises how important the privacy of your personal information is to you. We will therefore, at all times, seek to ensure that the personal information collected and held by us is protected from misuse, loss, unauthorised access, modification or disclosure.



Prescott Securities is committed to complying with the provisions of the Privacy Act

Prescott Securities is committed to ensuring that the personal information we hold about you is accurate, complete and up to date and that it remains confidential. If you believe that the personal information we hold about you is incorrect, we request that you contact us and we will take all reasonable steps to correct the information.

Disclaimer

The information contained in this Privacy Policy Statement is a summary only and is based on the requirements of the Privacy Act (Private Sector) 1998 and the National Privacy Principles issued September 2001.

Contact

If at any time, you wish to have access to the information we hold, you are welcome to request this by telephoning the Head of Compliance on: (08) 8372 1300.

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**Prescott
Securities** 
STOCKBROKERS & FINANCIAL ADVISERS

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