

# Jefferies Australia Privacy Notice

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## 1. Introduction

This Privacy Notice explains what Jefferies (Australia) Pty Ltd (whether directly or through an affiliate in the Jefferies Group), its branches and/or subsidiaries, including Jefferies (Australia) Securities Pty Ltd (together “Jefferies Australia”, “we” “our” or “us”) do with your personal information. It describes how we collect, use and process your personal information, and how, in doing so, we comply with our legal obligations to you. Your privacy is important to us, and we are committed to protecting and safeguarding your privacy rights.

If you are an employee of ours, this Privacy Notice does not describe how we collect, use or disclose your personal information. The Privacy Collection Statement which you completed as part of your on-boarding at Jefferies Australia applies to you and outlines our practices in relation to your personal information.

We may amend this Privacy Notice from time to time. Please just visit this page if you want to stay up to date, as we will post any changes here.

## 2. What types of personal information do we collect?

We will collect your contact details (name, telephone numbers, job title and email or postal addresses) when you engage with us in connection with our or your services in order to ensure our relationship runs smoothly. Where we are required to carry out verification checks, to comply with our legal and regulatory obligations (such as to conduct KYC checks under the Anti-Money Laundering and Counter-Terrorism Financing Act 2006), we will collect specific additional information about relevant individuals (such as directors and beneficial owners), including, for example, date of birth, payment details, tax residence information, copies of photo identification documents (such as a driving licence and/or passport/identity card), information about nationality/citizenship/place of birth, national identification numbers and other identity verification documents. We may also hold information that another person within your organisation has chosen to provide us.

Where existing or prospective corporate clients/vendors provide us with personal information relating to their directors, employees, officers, agents, clients or any other person, such information is deemed to have been provided on the basis that: (i) those individuals have been informed and understand that their personal information is being provided to us or our affiliates; (ii) those individuals have been provided with information regarding the collection, use, processing, disclosure and overseas transfer of their personal information; (iii) the client/vendor has a lawful basis (in accordance with applicable privacy laws and regulations) to provide such personal information to us; (iv) those individuals are aware of their privacy rights and how to exercise them; and (v) the existing or prospective corporate clients/vendors agree to take responsibility for informing and obtaining the agreement of the data subjects to the matters described in (i) to (iv).

If you are an individual client we will collect personal information you provide when you: (i) apply for your account and are onboarded as a client; (ii) request or engage with us in connection with our services; and (iii) interact with us in relation to the management and administration of your account. The personal information you give us may include your name, postal address, e-mail address, phone number, financial information, bank account/payment details, identification documents and other relevant personal details. We may also collect personal information about you in the circumstances described in Section 3.

We may also collect information relating to your online engagement with regard to material that we publish, which we use to, for example, ensure that our relationship management communications to you are relevant and timely and, where such material is subject to charges for accessing it, that you are charged the correct amount. In certain

circumstances, calls with you may be recorded and monitored (to ensure compliance with regulatory obligations), depending on, and in accordance with, our policy together with applicable local laws and requirements.

We do not collect or otherwise process sensitive personal information (this includes details about your race or ethnicity, religious or philosophical beliefs, sexual orientation, political opinions, trade union membership, information about your health and genetic and certain biometric information) or criminal conviction/offence information unless it is necessary for compliance with a legal and/or regulatory obligation. We may request you to complete COVID status enquiries where you attend a Jefferies in person meeting/event.

We are subject to various Australian and International laws such as the Corporations Act and other regulatory legislation (e.g. requiring us to maintain client and transaction records, and to make reports and provide other information to regulators such as ASIC), the Anti-Money Laundering and Counter-Terrorism Financing Act and Tax Laws Amendment (Implementation of the Common Reporting Standard) Act 2016 (e.g. requiring us to report to the ATO financial account information on non-residents), the Taxation Administration Act, the Income Tax Assessment Act and other taxation laws (e.g. to comply with information requests issued by the Commissioner of Taxation) and Chapter 4 of Subtitle A of the United States Internal Revenue Code of 1986 as amended or supplement from time to time (“FATCA”) (e.g. requiring us to establish whether you are a citizen of the United States, resident of the United States for its federal income tax purposes or otherwise subject to tax in the United States and/or to substantiate whether your account has US status for the purposes of FATCA), and sometimes we collect personal information in accordance with the requirements and provisions of these laws.

To the extent that you access our website we may also collect certain data from you via cookies, further details of which can be found in Section 10.

If we are unable to collect some of the personal information we seek, then we may not be able to do the things described in Section 4, and this may limit our ability to provide services to you or receive services from you.

### **3. How do we collect your personal information**

#### **3.1 *Personal information that we receive directly from you***

We may receive personal information directly from you, e.g.:

- Where you contact us proactively, usually by corresponding with us by phone or email or by filling in forms; and/or
- Where we contact you, either by phone or email, or through investment activities more generally.

#### **3.2 *Personal information we receive from other sources***

Where appropriate and in accordance with any local laws and requirements, we may seek more information about you or your organisation from other sources, e.g.:

- By way of due diligence or other market intelligence;
- From third party data providers and by analysing online and offline media (which we may do ourselves, or employ other organisations to do so for us);
- From delegate lists at relevant events; and/or
- From other limited sources and third parties (for example, from third party brokers and counterparties who may provide us with your details in accordance with any regulatory requirements).

#### **3.3 *Personal information we collect automatically***

To the extent that you access our website or read or click on an email from us, where appropriate and in accordance with any local laws and requirements, we may also collect your information automatically or through you providing it to us. For more information please see Section 10.

### **4. How do we use your personal information?**

Having obtained information about you, we then make sure we use it appropriately.

#### **4.1 *Client information***

Investment Activities

If you are a client or prospective client we use the personal information you provide in the following ways:

- storing your details (and updating them when necessary) on our database in order that we can contact you in relation to our ongoing services, agreements or dealings with you, including relevant offerings;
- managing and administering your account (and this may require that we verify information you provide in the course of your onboarding as a client);
- to carry out our obligations arising from our contracts with you;
- undertaking anti-money laundering and know your client checks in accordance with our legal and regulatory obligations;
- maintaining records of our conversations and meetings so that we can provide relevant services to you and in order to comply with our legal and regulatory obligations;
- for internal analysis, research, reviews and reporting, including in order to facilitate the provision of relevant services to you;
- for purposes in connection with the circumstances described in Section 5;
- in more unusual circumstances, to help us to establish, exercise or defend legal claims; and
- to comply with legal and/or regulatory requirements.

#### Relationship Management

- We may use your personal information to contact you to offer you additional services, keep you up to date with business development and market insights or to invite you to events that may be of interest (except where you have asked us not to).
- You have the right to opt out of receiving such communications from us by either liaising with your Jefferies contact or by electronically unsubscribing from communications we have sent you. After you unsubscribe we will not send you such communications but may continue to contact you to the extent necessary for the purposes of any services we are providing to you or as may be needed for regulatory purposes.

#### 4.2 *Supplier information*

We will use your information:

- To store (and update when necessary) your details on our database, so that we can contact you in relation to our agreements or our dealings with you;
- To obtain support and services from you;
- To perform certain legal and regulatory obligations, such as carrying out anti-money laundering and verification/background checks;
- Facilitating our invoicing processes;
- For purposes in connection with the circumstances described in Section 5; and
- In more unusual circumstances, to help us to establish, exercise or defend legal claims.

#### 5. **Who do we share your personal information with?**

Where appropriate and in accordance with local laws and requirements, we may share your personal information, in various ways and for various reasons, including with the following categories of people:

- Affiliates within the Jefferies Group;
- Tax, audit, regulatory bodies or other authorities, when we believe in good faith that the law or other regulation requires us to share this information (for example, because of a request by a tax authority, in connection with any anticipated litigation or in compliance with our legal and regulatory obligations);
- Third party service providers who perform functions on our behalf (including, without limitation, administrators, external consultants, business associates and professional advisers such as lawyers, auditors and accountants, technical support functions and IT consultants carrying out testing and development work on our business technology systems, etc.);
- Third party outsourced IT and document storage providers (including cloud-based storage providers) where we have an appropriate processing agreement (or similar protections) in place; and
- If Jefferies is subject to a bid, or otherwise merges with or is acquired by another business or company in the future, we may share your personal information with the new (or prospective) owners of the business or company.

To ensure that your personal information receives an adequate level of protection, we put in place appropriate procedures with the third parties we share your personal information with to ensure that your personal information is treated by those third parties in a way that is consistent with, and which respects, the law and regulation on privacy protection, or we otherwise ensure that our sharing of information with third parties is in accordance with those laws and regulations.

## **6. How do we safeguard your personal information?**

We are committed to taking all reasonable and appropriate steps to protect the personal information that we hold, whether in physical or digital form, from misuse, loss, or unauthorised access. We do this by having in place a range of appropriate technical and organisational measures. These include measures to deal with any suspected data breach, training for staff on handling personal information, and contractual protections for personal information that service providers hold on our behalf.

Please note you are responsible for ensuring that any personal information that you send to us is sent securely (e.g. encrypting attachments).

## **7. How long do we keep your personal information for?**

We will ordinarily process your information throughout the course of our interactions and will then generally retain it for an appropriate amount of time after we have parted ways. The precise length of time will depend on the type of information, our legitimate business needs and other legal or regulatory rules that may require us to retain it for certain minimum periods. There may also be some legal, regulatory or risk-management requirements to retain data, including where certain data might be relevant to any potential litigation (bearing in mind relevant limitation periods).

## **8. How can you access, amend or take back personal information you have provided to us?**

Subject to applicable law, you may have certain rights in respect of the processing of your information, as listed below.

- **Access:** You may ask us to confirm, and provide copies of, the information we hold about you at any time, and request us to modify, update or delete such information.
- **Rectification:** You also have the right to request that we rectify any inaccurate or incomplete personal information that we process or control.

If you would like to exercise any of these rights, including withdrawing your consent to the processing of your personal information (where consent is our legal basis for processing your personal information), details of how to contact us can be found in Section 11. Please note that we may keep a record of your communications to help us resolve any issues which you raise.

It is important that the personal information we hold about you is accurate and current. Please keep us informed if your personal information changes during the period for which we hold your information.

## **9. How do we store and transfer your information internationally?**

In undertaking services for you, your personal information may be transferred to those set out in Section 5.

We want to make sure that your information is stored and transferred in a way which is secure. We will therefore only transfer information outside of Australia where such transfer is compliant with privacy legislation and the means of transfer provides adequate safeguards in relation to your information. Other regions and countries to which we may make these transfers include the global locations of Jefferies Group listed on our website at <https://www.jefferies.com/global-locations/>.

## 10. Cookies

Cookies are used by nearly all websites and do not harm your system. If you want to check or change what types of cookies you accept, this can usually be altered within your browser settings.

We may use cookies to track your use of our website. This enables us to understand how you use the site and track any patterns that emerge individually or from larger groups. This helps us to develop and improve our website and services in response to what our visitors want and need.

## 11. Jefferies contact details

If you have any comments, questions or concerns about any of the information in this Privacy Notice, or any other issues, including a complaint, relating to the processing of your personal information by Jefferies Australia, please contact our Jefferies Asia Privacy Office by email or post:

[AsiaPrivacy@jefferies.com](mailto:AsiaPrivacy@jefferies.com)

Jefferies Asia Privacy Office  
Level 26, Two International Finance Centre, 8 Finance Street, Central, Hong Kong, China  
For the attention of: Head of Asia Legal & Compliance

In accordance with privacy laws you also have the right to lodge a complaint with the Australian regulator for privacy, the Office of the Australian Information Commissioner. The contact details for doing so are: Level 3, 175 Pitt Street, Sydney NSW 2000.