

1 December 2023

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). Please read this Privacy Collection Notice to see how we will use the personal information you are providing us with. We reserve the right to modify this privacy collection notice from time to time to reflect our current privacy practices.

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, financial details such as your bank account details and your Tax File Number (“TFN”). The collection of your personal information is authorised under various laws that deal with financial products, anti-money laundering and tax.

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) and other legislative requirements;
- 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 respond to your enquiries, including requests for information or complaints;
- e) To send you relevant information on the products and services to which your membership gives you access and customise the content of our website, emails and online applications to suit your preference or to give you more relevant content;
- f) To carry out analysis about our products and services and how we can improve them. We do this by conducting surveys, doing market research, analysis and product testing (by us or our third party service providers). In doing this, we may combine information we hold about you from various service providers and other sources.

Australian Ethical may also need to collect personal information about you from other parties where relevant, such as your financial adviser.

What happens if you don't provide the information requested?

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, Australian Ethical may not be able to:

- efficiently administer your account or
- provide you with information about our products and services which may benefit 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 (such as administrators, custodians and registries) 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, AUSTRAC and the OAIC;
- e) Courts and tribunals, including the Australian Financial Complaints Authority;
- f) Auditors, actuaries and legal advisers - to ensure we comply with legislation and other obligations.
- g) Independent consultants, marketing & communication agencies, market research, analytics and data services companies for the purpose of conducting data analysis, market research and developing marketing campaigns with respect to our products and services.
- h) Mail houses, printing companies and digital communication agencies - to send you information about your investment account via mail, SMS and email.
- i) Archiving companies - to ensure all documents are stored in a secure environment.
- j) IT service organisations – to provide and maintain IT services and systems.
- k) Our web hosting company and web/application developers - to host, develop, test and manage our websites.

In providing our products and services, we may use the services of companies or servers located in the USA, Singapore and the UK. This includes certain marketing services and various data services including backup storage.

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 at australianethical.com.au/privacy-policy 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

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

Australian Ethical reserves the right to modify this Privacy Collection Notice 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

t 1800 021 227

e investors@australianethical.com.au

w australianethical.com.au