

## The Hudson Institute Privacy Policy

Mainview Securities Pty Ltd (ABN 18 078 484 456) has an Australian Financial Services Licence (AFSL 241177) and trades under the name of The Hudson Institute. You can contact us in writing at GPO Box 1875, Brisbane Qld 4001, via [EMAIL](#) to or by phone on 1800 804 296.

At The Hudson Institute we aim to provide the best possible service and in doing so we are committed to protecting your privacy.

**Mainview Securities Pty Ltd only collects, by lawful and fair means Personal Information that is necessary to execute our business functions.**

### What does 'Personal Information' mean?

Personal Information is any information about you that identifies you or by which your identity can be reasonably determined.

### What information do we collect and why do we collect it?

When you contact us and follow-up is required we will ask you for your name, mailing address, email address and contact telephone numbers. These details are required for ongoing contact with you.

When you join our Hudson Membership we will require the following details: your gender, date of birth, occupation details, your income, your budget/cashflow, your assets and liabilities, your risk profile, your investments, your superannuation details, your goals and any other relevant financial information as required on finance, insurance and managed fund applications.

The information is collected so that our Financial Advisers, and Finance and Insurance Consultants can analyse your financial situation and make the most appropriate recommendations. Also the requirement to collect this information falls under the "Know your client" rule as legislated by the Australian Securities and Investment Commission.

### How do we collect Personal Information?

Mainview Securities will endeavour to collect Personal Information about an individual only from that individual. At the time, or prior to collecting Personal Information we will make reasonable steps to make the individual aware of Mainview Securities' identity, how to contact us, the ability for the individual to access their Personal Information, the purpose for collecting the information, who the information can or will be disclosed to, any law that requires the collection of particular Personal Information, as well as, the main consequences if necessary Personal Information is NOT provided.

We collect the information by speaking with you over the phone, from your emails and letters, by you completing our various forms such as the Hudson Membership Enrolment Form, the Personal Financial Profile and the Finance, Insurance and Managed Fund application forms.

If it is not reasonable to collect Personal Information about the individual only from that individual and must be obtained from someone else, Mainview Securities will ensure that the individual is made aware of the matters listed above.

### How do we use the information we collect?

The information we collect is used for the primary purpose of to provide you with our Financial Planning services and the components of your Hudson Membership. Your personal contact details are used to make regular contact with you. Your personal financial details are used by your Financial Adviser to assess your financial situation and make recommendations to you. If Mainview Securities were to use the collected Personal Information for a secondary purpose we would ensure that it is strongly related to the primary purpose of our services, the use of the information is something that you would reasonably expect Mainview Securities in our business capacity to use or we have obtained your consent.

If the information is not sensitive Mainview Securities may also use the Personal Information that we collect to notify you of updates and changes to the services and products offered by us or by any of our partners. Notifications will have present the option to elect for no further updates from Mainview Securities by [Contacting Us by email](#), or by phone on 1800 804 296.

### Do we disclose your personal information to anyone?

Hudson may disclose your collected Personal Information in certain circumstances. We do not disclose your Personal Information to any party without your permission to proceed with a recommendation.

The circumstances under which we disclose personal information are:

- Applications for Finance and Loans
- Applications for Insurance
- Applications for Managed Funds
- Referrals to our property partners
- Mail service providers for the mailing of Hudson Membership letters
- If required by law
- If there is a special circumstance and we have your written permission

### Can you access, or request for correction of the Personal Information we hold about you?

You may request access or correction to any of the personal information that we hold about you. To make a request you can contact us by mail at GPO Box 1875, Brisbane Qld 4001, or by [Contacting us](#) via our website or by phone on 1800 804 296.

To access or request correction to your personal details you will need to quote your membership number and answer some other personal questions to confirm your identity. You cannot access the information about any other member.

Mainview Securities will take reasonable steps to ensure that the Personal Information we collect, use and disclose about members is accurate, complete and up-to-date. We do not charge a fee for requests to access or correct your Personal Information, and will try to contact you at least once per year to check your details are still accurate, and when you make contact with us, we will check that your details are still accurate.

### How do we protect your information and ensure it is accurate?

The security of the Personal Information we collect from an individual is paramount. We ensure that the information will not be misused, lost, protected from unauthorised access, modification and disclosure.

At Mainview Securities only our staff members, who are employed under confidentiality agreements, have access to your personal

details. The administrative systems used to manage your personal information are secure and protected against unauthorised access. All hard copies with your personal details are protected in our secure filing system.

**Who should you contact if you have any questions regarding our Privacy Policy?**

If you have any questions regarding our Privacy Policy you can contact:

David Heffernan or Phillip McGann by phone on 1800 804 296, by **EMAIL** or by mail to GPO Box 1875, Brisbane Qld 4001.

**Can you complain about a breach of your privacy?**

If you believe we have not protected your personal information as set out in this privacy policy you may lodge a complaint with us in any of the following ways:

Address your complaint to David Heffernan or Phillip McGann and make contact by phone on 1800 804 296, by email, or by mail to GPO Box 1875, Brisbane Qld 4001.

**What if you are not satisfied with our response?**

If you are not satisfied with the result of your complaint to Hudson, you can refer your complaint to the Federal Privacy Commissioner. You can contact the Federal Privacy Commissioner by phone on 1300 363 992 or write to Director of Complaints, Office of the Federal Privacy Commissioner, GPO Box 5218, Sydney NSW 1042.

Policy dated May 2009