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PRIVACY COLLECTION STATEMENT

CAPITAL GUARD AU PTY LTD
ACN 168 216 742, ABN 48 168 216 742, ASFL 498434



PRIVACY COLLECTION STATEMENT

Issued by Capital Guard AU Pty Ltd

ACN 168 216 742

ABN 48 168 216 742

ASFL 498434

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PRIVACY COLLECTION STATEMENT

Capital Guard AU Pty Ltd referred to in this statement as “we”, “us” or “Capital Guard”) operates an online trading platform. Capital Guard collects your personal information through the registration form you completed or when you submit a request for us to contact you.

The type of information we collect includes:

1. your identity and contact details include name, address, email address, telephone number;
2. IP addresses, device and browser information when using our Website or Trading Platform (and other associated details, including your geographic location, the date and time of your visit to our Website, pages viewed, frequency and duration of your visit, the URL of the website that you viewed before our Website, browser plug-in type and version, your operating system and platform);
3. payment information and transaction history in connection with your account;
4. Information about your financial status (i.e. income and savings) or other financial information about your profession and employment details;
5. any type of electronic communication such as letters, emails, chat messages, and telephone conversations where you provide your feedback and opinions about our products and services; and
6. information relating to your dealings with us and our related entities, including insights about you so that we can better understand your preferences and interests.

We collect, hold, use and disclose personal information for a range of purposes including to:

- a. provide the Services to you as part of our Agreement;
- b. verify your identity and opening and managing your account;

- c. meet our regulatory obligations;
- d. process requests for you relating to the Services (such as deposit and withdrawals, transactions, tax and other information demands);
- e. manage our relationships with You by electronic, telephone or chat communication;
- f. enter into and executing transactions with financial instruments;
- g. open a demo/practice account with us;
- h. have chat or email communication;
- i. conduct risk management control, data analysis and global supervision of your ongoing needs;
- j. enhance, improve and personalise our Services to better your experience;
- k. provide you with market information that we believe may be relevant or of interest to you;
- l. send you important account and Services related data. (Just so you know these may be by different communication channels such as surveys, in-app notifications, platform messages and emails);
- m. prevent misuse and fraud, demonstrating business transactions and communications;
- n. manage transactions surveillance and monitoring and complying with reporting obligations;
- o. perform administrative tasks and internal record keeping;
- p. manage risks, disputes, complaints or litigation in the context of prosecution; and
- q. conduct further searches and enquiries regarding the information you have provided to us or more generally to collect additional personal information about you or your associates for our regulatory or prudential purposes.

In conducting our business, we may disclose your personal information to third parties for the purposes outlined above. These third parties may include:

1. other members of the Capital Guard;
2. third-party service providers;
3. professional service providers who assist us in meeting our legal and regulatory obligations; and
4. law enforcement/regulatory bodies where required by law.



Some of our third-party service providers and related companies who assist with marketing services, data storage and the execution of our support services are located outside Australia. As a result, personal information collected and held by us may be transferred to recipients in other countries including the United Kingdom and the EEA.

If you do not provide us with some or all the personal information that we ask for, we may not be able to verify your identity and as such you may not be able to open an Account or use our Trading Platform.

More detailed information about the way Capital Guard uses and discloses your personal information is set out in our comprehensive Privacy Policy. Our privacy policy includes information about how you can opt out of marketing communications from us, how you may access or seek a correction of your personal information or may make a complaint about how your personal information has been handled by us.

If you have any questions regarding this Collection Notice, please contact Capital Guard.

✉ compliance@capitalguard.com.au

🌐 www.CapitalGuard.com.au

☎ +61 280 7540782 (landline)

☎ 1300 712 528 (24/7 hotline)