

PRIVACY POLICY

Introduction

This Privacy Policy governs the use of your personal information by Maxim Financial Markets Limited (**Maxim**), Level 3, 44 Victoria Street, Wellington. Maxim must comply with its obligations under the Privacy Act 2020 when dealing with your personal information. Maxim is committed to protecting and respecting your privacy and your information.

Any personal information you provide Maxim will be stored, used and disclosed by Maxim in accordance with this Privacy Policy.

Collecting Personal Information

Maxim collects information you provide it with.

Examples of the type of personal information Maxim may collect from you are your name, birth date, email, phone number, address, photo identification, payment information, tax details, account preferences, and all of your correspondence with Maxim.

Using Personal Information

Maxim will never sell your personal information.

Employees or contractors of Maxim may have access to your personal information as part of their role. Their access to your personal information is limited to what is necessary.

Your personal information may be used:

- for the provision of Maxim's products and services;
- to amend records to remove or update personal information;
- for other everyday business purposes that involve use of personal information; and
- to comply with Maxim's contractual obligations with you or legal obligations (such as complying with anti-money laundering and countering financing of terrorism (AML/CFT) and Inland Revenue (IRD) regulations).

Third Party Use of Personal Information

In the provision of Maxim's products and services to you Maxim may disclose and provide your personal information acquired by Maxim from you to third parties that are party to the provision of Maxim's products and services. Maxim will not disclose or provide your personal information to third parties beyond that which is required for the provision of Maxim's products and services, and not to any third parties that do not require it for any products and service provided.

Disclosure to third parties overseas shall be limited to countries with comparable privacy laws to New Zealand, or which expressly offer comparable legal protections. Otherwise, Maxim will request your express permission for the disclosure of personal information after notification that the recipient may not be required to protect the information in the same way as is required under the Privacy Act 2020.

Employees or contractors of third parties may have access to your personal information as part of their role. Their access to your personal information is limited to what is necessary.

Maxim Privacy Officer

Maxim has appointed a Privacy Officer on staff who is responsible for the Maxim Privacy Policy, managing any requests made under the Privacy Act 2020, working with the Office of the Privacy Commissioner in relation to any investigations in relation to business activities and ensuring Maxim complies with the provisions of this Privacy Policy and the Privacy Act 2020.

Requests for Personal Information

You have the right to access and correct your personal information in accordance with the Privacy Act 2020. If you want to access or correct your personal information or if you have any questions regarding Maxim's Privacy Policy, please contact: The Maxim Privacy Officer, team@maximfms.co.nz.

Storage and Disclosure of Personal Information

Maxim will maintain all reasonable protections against the loss, misuse or inappropriate disclosure of your personal information. Maxim will maintain processes to prevent unauthorised use or access to that information.

Maxim may store your personal information in different forms, including in hardcopy and electronic. Maxim will keep all physical documents secure, both inside and outside its premises. Maxim will keep electronic personal information secure by making sure its data storage is protected from external sources, maintaining a regular back up and applying good security practices.

Maxim will disclose your personal information to people other than you when you have authorised such disclosure or if such a disclosure is permitted under the Privacy Act 2020.

Maxim will not retain your personal information for longer than is necessary.

Third Party Storage and Disclosure of Personal Information

Maxim requires all third parties that may require your personal information, for the provision of products and services provided by Maxim, to meet the same storage and disclosure standards and rights of access and correction of personal information as personal information held directly by Maxim under this Privacy Policy.

Breach

Breaches of this policy include breaches of any of the information privacy principles under the Privacy Act 2020. Where Maxim becomes aware of a privacy breach that has caused or is likely to cause serious harm it will notify the Office of the Privacy Commissioner as soon as practicable.

If you are concerned Maxim has not met its obligations to you as required by the Privacy Act 2020, you may contact Maxim and make a complaint at the address and/or email listed above.

More information about your rights and Maxim's obligations in respect to privacy and information on making a privacy complaint are available from the Office of the Privacy Commissioner at www.privacy.org.nz.

Changes to Maxim's Privacy Policy

This document sets out Maxim's current Privacy Policy. Maxim may review this policy from time to time and will notify you of any changes by posting an updated version on its Website.

Nothing in this Privacy Policy shall limit your rights under the Privacy Act 2020.