



Privacy Policy

BGC Partners (Australia) Pty Ltd & BGC Securities (Australia) Pty Ltd

We respect your privacy

BGC Partners (Australia) Pty Ltd, ABN 62 092 873 099, & BGC Securities (Australia) Pty Ltd, ABN 87 092 873 142 ("**we**", "**us**" and "**our**") respects your right to privacy and is committed to safeguarding the privacy of our customers and website visitors. We adhere to the Australian Privacy Principles contained in the *Privacy Act 1988* (Cth) ("**Privacy Act**"). This Policy sets out how we collect and treat your personal information.

The term "personal information" is used in this Policy to refer to information or an opinion about an individual whose identity is apparent, or can reasonably be ascertained, from the information or opinion.

Consent

By providing us with personal information, you consent to the terms of this Privacy Policy and the types of disclosure covered by this Policy.

Collection of personal information

We will, from time to time, collect and hold personal information about you so that we can provide financial services to you.

The personal information that we may collect about you may include basic information such as your name, phone number, address, email address, tax file number, transactional information, banking details, and any additional information about you that is necessary to allow us to provide financial services to you.

If you choose not to provide us with your personal information, we may not be able to provide you with our services.

How we collect your personal information

We collect personal information from you in a variety of ways, including when you interact with us electronically or in person, when you access our website and when we provide our services to you.

We may also collect information at other times, including but not limited to, when you provide feedback, when you provide information about your personal or business affairs, change your content or email preference, respond to surveys and/or promotions, provide financial information, or communicate with our employees.

We may receive personal information from third parties. If we do, we will protect it as set out in this Privacy Policy.



Use of your personal information

We may use personal information about you to provide you with financial services and to improve our products and services and better understand your needs.

We may contact you in a variety of ways including, but not limited to telephone, email, SMS or mail.

We may also make you aware of new and additional products, services and opportunities available to you. If you do not wish to receive this information please contact us using the details set out below:

Compliance Officer

Level 24, 363 George Street,

Sydney 2000, Australia.

Or via email: compliancesydney@bgcpartners.com

Disclosure of your personal information

We may disclose your personal information to any of our employees, officers, insurers, professional advisers, agents, suppliers or subcontractors insofar as reasonably necessary for the purposes set out in this Policy.

We may, from time to time, need to disclose personal information to comply with a legal requirement, such as a law, regulation, court order, subpoena, warrant, in the course of a legal proceeding or in response to a law enforcement agency request.

We may also use your personal information to protect the copyright, trademarks, legal rights, property or safety of us, our customers or third parties.

Information that we collect may from time to time be stored, processed in or transferred between our related entities located in countries outside of Australia. These may include, but are not limited to Hong Kong, Singapore, and the United Kingdom.

If there is a change of control in our business or a sale or transfer of business assets, we reserve the right to transfer, to the extent permissible at law, our user databases, together with any personal information and non-personal information contained in those databases. This information may be disclosed to a potential purchaser under an agreement to maintain confidentiality. We would seek to only disclose information in good faith and where required by any of the above circumstances.

Where we disclose your personal information to third parties, we will request that the third party follow this Policy regarding handling your personal information.

Security of your personal information

We are committed to ensuring that the information you provide to us is secure. In order to prevent unauthorised access or disclosure, we have put in place suitable physical, electronic and managerial procedures to safeguard and secure information and protect it from misuse, interference, loss and unauthorised access, modification and disclosure.



The transmission and exchange of information is carried out at your own risk. We cannot guarantee the security of any information that you transmit to us, or receive from us. Although we take measures to safeguard against unauthorised disclosures of information, we cannot assure you that personal information that we collect will not be disclosed in a manner that is inconsistent with this Privacy Policy.

Access to your personal information

You may request details of personal information that we hold about you in accordance with the provisions of the Privacy Act. We will not charge a fee for the provision of information. If you would like a copy of the information which we hold about you or believe that any information we hold on you is inaccurate, out of date, incomplete, irrelevant or misleading, please email us at compliancesydney@bgcpartners.com

We reserve the right to refuse to provide you with information that we hold about you, in certain circumstances set out in the Privacy Act.

Complaints about privacy

If you have any complaints about our privacy practices, please feel free to send in details of your complaints to:

Compliance Officer
Level 24, 363 George Street,
Sydney 2000, Australia.

We take complaints very seriously and will respond shortly after receiving written notice of your complaint.

If you remain unsatisfied with the way in which we have handled a privacy issue, we suggest you contact the Office of the Australian Information Commissioner who can be contacted on either www.oaic.gov.au or 1300 363 992.

Changes to Privacy Policy

We may modify this Policy at any time, in our sole discretion and all modifications will be effective immediately upon our posting of the modifications on our website or notice board. Please check back from time to time to review our Privacy Policy.

Website

When you visit our website

When you come to our websites www.bgcpartners.com, www.mintpartners.com.au and the [applicable website for Fixed Income Solutions \(a division of BGC Securities \(Australia\) Pty Ltd\)](#), we may collect certain information such as browser type, operating system, website visited immediately before coming to our website, etc. This information is used in an aggregated manner to analyse how people use our website, such that we can improve our service.

Cookies

We may, from time to time, use cookies on our website. Cookies are very small files which a website uses to identify you when you come back to the website and to store details about your use of the website. Cookies are not malicious programs that access or damage your



computer. Most web browsers automatically accept cookies but you can choose to reject cookies by changing your browser settings. However, this may prevent you from taking full advantage of our website.

Our website may from time to time use cookies to analyse website traffic and help us provide a better website visitor experience. In addition, cookies may be used to serve relevant ads to website visitors through third party services such as Google Adwords. These ads may appear on our website or other websites you visit.

Third party sites

Our site may from time to time have links to other websites not owned or controlled by us. These links are meant for your convenience only. Links to third party websites do not constitute sponsorship or endorsement or approval of these websites. Please be aware that we are not responsible for the privacy practices of other such websites. We encourage our users to be aware, when they leave our website, to read the privacy statements of each and every website that collects personal information.