



INDEPENDENT WEALTH MANAGEMENT

Privacy Policy

Licensee:

Independent Wealth Management Pty Ltd

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Privacy Policy

At Independent Wealth Management, we are committed to protecting your privacy in accordance with the Privacy Act 1988 (Cth). This Policy describes our policies and practices for collecting, handling, storing, using and disclosing personal information. It also deals with how you can complain about a breach of the privacy laws, access the personal information we hold about you and have that information corrected (where necessary).

What personal information do we collect and hold?

When we provide financial advice, we ask you for the information we need to provide our services to you. We collect your information through our Client Profile questionnaire, application forms, interviews, when we speak to you by telephone, website enquiry forms and correspondence. This can include a broad range of information from your name, address, contact details and age to information about your personal affairs including the financial assets that your own and entities that you control.

We may also collect your information from third parties such as financial institutions, the Department of Human Services, your accountant or solicitor.

We only collect sensitive information such as information about your health with your agreement and as it is necessary for us to do so for example to obtain quotes or apply for personal insurance.

How do we use your information?

We use your personal information to understand your financial situation, formulate our professional advice, make recommendations about your financial affairs, report to you on your investments, invoice you for our services and keep you informed about your products and our services.

We also use your personal information to manage your ongoing requirements and our relationship with you, e.g. providing updates to Centrelink and undertaking ongoing reviews of your situation. This includes contacting you by mail or electronically (unless you tell us you do not wish to receive electronic communications).

From time to time we may use your contact details to send you updates, articles, newsletters or other information about products and services that we believe will be of interest to you. We may also send you regular updates by email or by post. We will always give you the option of electing not to receive these communications and you can unsubscribe at any time by notifying us that you wish to do so.

What if you don't provide information to us?

If you do not provide us with some or all the information that we ask for, we may not be able to provide you with comprehensive financial advice.

You can contact us without using your name or by using a pseudonym. However, we will need your name or contact details to respond to you.

We also have obligations under Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth) to conduct due diligence and appropriately identify prospects and clients.

How do we store and protect your personal information?

We strive to maintain the relevance, accuracy and completeness and currency of the personal information we hold and to protect its privacy and security. We keep personal information only for as long as is reasonably necessary for the purpose for which it was collected or to comply with any applicable legal reporting or document retention requirements.

We hold the information we collect from you electronically in our client management system and in hard copy files. Our server is backed up daily off site in a secure third-party location. The client administration system we use is with Australia's largest provider and meets the highest level of data security. This provider is also regulated by the Privacy Act.

We ensure that your information is safe by restricting access to our staff members who require access to it and by ensuring our hard copy files are kept in a secure location. We maintain physical security over our paper and electronic data and premises, by using locks, passwords and security systems.

Will we disclose your personal information to anyone?

We do not sell, trade, or rent your personal information to others. We may provide your personal information to:

- organisations (who are bound by strict confidentiality) to whom we outsource certain functions such as our auditors. In these circumstances, information will only be used for our purposes;
- other professionals such as solicitors, accountants and stockbrokers when a referral is required or you consent for us to do so;
- third parties when required to do so by law, e.g. legislation or Court Order.

We may also need to provide your information to contractors who supply services to us, e.g. to handle mailings on our behalf, external data storage providers, providers of our client management system or to other companies in the event of a corporate sale, merger, reorganisation, dissolution or similar event. We will take all reasonable steps to ensure that they protect your information in the same way that we do.

We will not disclose your information to overseas recipients.

How can you check, update or change the information we are holding?

You may ask us for access to your personal information and to correct it at any time.

Upon receipt of enough information to allow us to identify the information, we will tell you what personal information we hold about you. We will also correct, amend or delete your personal information if we agree is inaccurate, irrelevant, out of date or incomplete.

We do not charge for receiving a request for access to personal information or complying with a correction request.

To access or correct your personal information, please write to our Privacy Officer whose contact details are outlined below.

In some limited situations, we may need to refuse access to your information or refuse a request for correction. We will advise you as soon as possible after your request if this is the case and the reasons for our refusal.

Your consent

By asking us to assist with your financial planning needs, you consent to the collection and use of the information you have provided to us for the purposes described above.

What happens if you want to complain?

We welcome your questions and comments about how we manage your privacy. If you have any concerns about whether we have complied with the Privacy Act, the Australian Privacy Principles or this Privacy Policy, please write to our Privacy Officer at:

Mr Anthony Walker
Privacy Officer
Independent Wealth Management
Suite 411, Lakehouse Corporate Space
34-36 Glenferrie Drive
ROBINA QLD 4226

Phone: 07 5636 3800
e-mail: info@iwmaus.com.au

We will consider your complaint through our internal complaints resolution process and we will try to respond with a decision within 30 days of you making the complaint.

Updating this policy

This Privacy Policy was prepared on 7 April 2026. We may update it at any time. The new version will be published on our website.