



ClearView

Financial Consultants

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Privacy Policy (July 2021)

Our Company takes the privacy of personal data seriously and the legal and compliant treatment of this data is at the core of our operations. We therefore ask you to please read the following important information which explains how we collect, store and use your personal data. Martin Smith Independent Financial Adviser Ltd is registered under the Data Protection Act (DPA) 1998. The General Data Protection Regulation (GDPR) has revised provisions of the DPA 1998, and as such our privacy policy has been amended accordingly. The GDPR is enforceable from 25th May 2018.

1. Who are we?

Our Company provides independent financial advice to individuals, trustees and businesses. The products that we recommend are impartially selected from the entire marketplace. We are not tied to any product providers whatsoever and are free to select products and funds on a Whole of Market basis.

2. What do we mean by Personal Data?

By personal data (or personal information), we mean information that relates to you and is used to identify you, either directly or in conjunction with other material we hold.

3. How do we collect information from you?

We collect personal information about you as and when you consent to us doing so by signing our Data Consent forms, or by indicating consent on our online forms. We gather your consent in writing before entering into business relations with you.

4. What type of information do we collect?

The information we collect may include your name, address, email address and phone number. Furthermore, information about your health, lifestyle and finances can be collected depending whether it is necessary for the advice we are providing. We may also ask for evidence of your identity, for example your passport, driving license, proof of residence or income.

5. Why do we collect information from you?

We use your personal information for the following:

1. Provision of advice and services or to provide you with the information, products and services you have requested from us.
2. To comply with legislation in relation to anti money laundering regulations and the Financial Services Act.

6. How do we protect your personal information?

Any personal information we collect, record, or use in any way, be it on computer, hard copy or in any other form, is secured through our safeguarding processes to ensure that we meet our obligations under the Data Protection Act 1998.

7. What are your rights surrounding your personal information?

The GDPR enhances your rights surrounding your personal data. This includes:

1. The right to be informed – we will provide you with a copy of this privacy policy before seeking your consent to store/process your personal data.
2. The right of access – you have the right to request a copy of any personal information we hold on you. This will be provided in a structured format, free of charge, within 30 days of your request. Requests can be made in writing, by phone or by email, to any of our contact details provided shown at the header of this document.
3. The right to rectification – you have the right to request us to rectify any of your personal data which you believe is inaccurate or incomplete. We will respond within one month (this can be extended by two months where the request for rectification is complex). Requests can be made in writing, by phone or by email, to any of our contact details provided above.
4. The right to erasure – you have the right to request ‘to be forgotten’, i.e. for us to delete all records of your personal data. We will comply with your request, unless we have a legal obligation to continue to hold your personal data, in which case we will inform you of the reason we are unable to complete your request.
5. The right to restrict processing – you have the right to ‘block’ or suppress processing of personal data – in this case we will retain just enough information about you to ensure that the restriction is respected in future.
6. The right to data portability – you may request a copy of your personal data, in order to use it for your own purposes across different services, e.g. moving it from one IT environment to another in a safe and secure way. We will provide the data in a structured, commonly used and machine-readable form, e.g. CSV files. This will be provided free of charge and within one month (this can be extended by two months where the request is complex).
7. The right to object – you have the right to object to us processing your personal data for direct marketing purposes, and historical or statistical purposes, and we will respect this request as soon as we receive it (by post / email / phone, details of which are provided above).

8. Who do we share your personal information with?

We will only share your personal data with third parties when it is necessary for the service you have asked us to provide, and we will have contracts/safeguards in place to ensure that they treat the privacy of your personal data with the same importance as we do. You will be advised of the specific third parties with whom we may share your data. These third parties, amongst others, may include The Financial Conduct Authority who regulate our business.

9. Updates to this Policy

This Privacy Policy will be reviewed periodically and updated to comply with any new legislation – the most recent of which, the GDPR is currently being introduced and will be enforceable from 25th May 2018. This policy was last updated in March 2018.



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Following the implementation of the General Data Protection Regulation (GDPR) on 25th May 2018, we will be unable to contact you unless we have your explicit consent to do so. This does not apply where we are already conducting business on your behalf, although for the sake of completeness, you may wish to update your consent in line with the GDPR.

We therefore ask you to please read the attached Privacy Policy which explains how we collect, store and use your personal data.

If you consent to us holding your personal data and using it for the reasons explained, please tick to confirm.

I agree.

If you consent to us holding your personal data and using it for direct marketing purposes, please tick to confirm.

I agree.

You can change your mind at any time by emailing or telephoning us. Details are shown above.

Signed

Print name

Dated

Signed

Print name

Dated

ClearView Financial Consultants is a trading name of Martin Smith Independent Financial Adviser Ltd, a company registered in England under number 11439150 and authorised and regulated by the Financial Conduct Authority under number 944677.