

PRIVACY POLICY

A. J. O'KEEFE CFP® **Australian Financial Services Licence No. 240546**

1. My organisation abides by the National Privacy Principles contained in the Privacy Amendment (Private Sector) Act 2001.
2. As a Financial Planner I am required by law to obtain and hold detailed information which personally identifies you, and/or contains information or an opinion about you. In addition my ability to provide you with financial planning advice is dependent on me obtaining certain personal information about you, including...
 - Current financial position, assets, liabilities, income & expenditure.
 - Details of financial goals, needs and objectives.
 - Employment details and history.
 - Details of risk tolerance and investment preference.
 - Insurance and superannuation.
 - Personal family and health details which could impact on the advice given.
3. Failure to provide the personal information referred to above may expose you to higher risks in respect of the recommendations made to you and may affect the adequacy or appropriateness of the advice given to you.
4. I will only collect, maintain and use personal information about you if that information is required to adequately provide the services requested by you...
 - Preparation and provision of financial planning advice.
 - Implementing securities and investment recommendations.
 - Reviewing your financial plan including recommendations.
 - Other financial services requested by you.
5. I will not use or disclose personal information collected by me for any purpose other than...
 - The purpose for which the information was originally provided and you would reasonably expect such disclosure.
 - Where you have consented to such disclosure.
 - Where the National Privacy Principles authorise use or disclosure under the law.
 - I may disclose your personal information to superannuation trustees, product providers, your accountants, solicitors or other personal advisers approved by you.
6. Your personal information will generally be held in a personal secure file or on a database within my office. In the event that you cease to be my client then your personal information will be stored off site for a period of seven years.
7. You may at any time request access to your personal information. Subject to the exceptions listed below I will forward copies of the information, a summary of the information or allow you to inspect the original documentation. I will not provide access to your information if...
 - Access poses a serious threat to the life or health of another person.

- The request is frivolous or vexatious.
 - The information related to existing or anticipated legal proceedings between us and would not be discoverable in those proceedings.
 - Providing access would be unlawful.
8. I will endeavour to ensure that at all times your personal information held by me is accurate and up to date. If either you or I become aware of inaccuracies in your information, then each of us can take reasonable steps to correct same.
9. If you have a complaint about the implementation of my privacy procedure, then you should complain to me in the first instance. I will endeavour to settle your complaint within seven days. If you are not satisfied then you are entitled to lodge your complaint with the Office of the Privacy Commissioner.

Contact Details:

A. J. O'KEEFE CFP®
129/40 Cotlew Street East,
SOUTHPORT Q 4215

Ph: (07) 5574 3636
Fax: (07) 5574 3677
E-mail: ajokeefe@ozemail.com.au