

Privacy Notice

This privacy notice applies to personal information collected by us and provides a summary of how we collect, store and use that information. If you would like a more detailed explanation please contact our Data Protection Officer whose details are listed at the end of this privacy notice.

Data Protection Principles

We will comply with data protection law and principles, which means that your data will be:

- Used lawfully, fairly and in a transparent way.
- Collected only for valid purposes that we have clearly explained to you and not used in any way that is incompatible with those purposes.
- Relevant to the purposes we have told you about and limited only to those purposes.
- Accurate and kept up to date.
- Kept only as long as necessary for the purposes we have told you about.
- Kept securely.

Existing and Prospective Clients

As part of our ongoing efforts to expand our investment network we will collect, store, and use basic identification and contact details such as your name, company, telephone number, email address and other information you provide us. We regard ourselves as data controllers with respect to this information.

It is in our legitimate interest, as a regulated financial institution, to grow our professional network and keep said network informed of our services and offerings. We process current and prospective client data as part of this legitimate interest. It is necessary for us to use a variety of direct communication channels and messages to ensure our contacts are kept informed, and wherever possible we make sure the messages we send are targeted and relevant. Any direct marketing we undertake is compliant with the General Data Protection Regulation (2016/679), Privacy and Electronic Communications Regulations (2003 No.2426) and all relevant national legislation.

Additionally, as part of our Client onboarding process, we will collect, store, and use personal information and in some cases sensitive personal information, such as phone numbers, e-mail addresses and financial details, along with identification information such as date of birth, residential address and nationality. We may also hold personal information (including sensitive personal information) obtained through publicly available sources such as credit agencies, media publications and company registries. We are under a legal obligation to perform appropriate customer due diligence and in some circumstances enhanced due diligence checks when establishing a business relationship. For further details of our regulatory obligation please see The Money Laundering, Terrorist Financing and Transfer of Funds Regulations 2017 (2017 No.692) Part 3. The Joint Money Laundering Steer Group has also produced a useful guide explaining UK Money Laundering Regulations (www.jmlsg.org.uk).

Candidates

We collect personal information about you through the application and recruitment process, either directly from you or sometimes from an employment agency or background check provider or from publicly available sources. We may sometimes collect additional information from third parties including former employers, credit reference agencies or other background check agencies, namely Jefferson Hunt Limited however, we may use alternative third parties where it is appropriate. We will use of all of the information collected as part of our assessment of your application for the role. It is in our legitimate interest to be able to fully evaluate you as a candidate; so that we can ensure that we select the candidate who will best be able to further the business interests of the company in the role.

If you fail to provide information when requested, which is necessary for us to consider your application (such as evidence of qualifications or work history), we will not be able to process your application successfully. For example, if we require a credit check or references for this role and you fail to provide us with relevant details, we will not be able to take your application further.

Visitors to the website

Stockdale Security respects the privacy of all users of its website. Stockdale does not use Cookies to track your use of the Internet in any other way or to store any personally identifiable information, and will not disclose Cookie information to any third parties for any other purpose (other than as required by law or other regulatory requirement) unless the contrary is stated.

Use of Cookies

This website uses web-enabled “Cookies”. A Cookie is a small data file that resides on your computer, mobile phone, or other portable device which allows us to identify users and to distinguish the session for the purpose of storing user preferences when you return to our website using the same computer and web browser. They are widely used in order to make websites work, or work more efficiently, as well as to provide information to the owners of the site.

Change Cookie Settings

You can remove or block Cookies using the settings in your browser, but in some cases doing so may impact your ability to use the website. Most web browsers allow some control of most cookies through the browser settings. To find out more about cookies, including how to see what cookies have been set and how to manage and delete them, visit www.aboutcookies.org or www.allaboutcookies.org

Data Sharing

We do use third party service providers to collect, store and process personal data on our behalf. Where third party providers demand to be joint data controllers we will in accordance with Article 26 of GDPR ensure that there is an appropriate arrangement in place to ensure that both parties adhere to their respective responsibilities under GDPR. Where the data relationship with a third party provider is one of controller and processor we will in accordance with Article 28 of GDPR ensure that the processor makes sufficient guarantees to process your data and protect your rights in compliance with GDPR and all relevant UK legislation.

Data Security and Data Retention

We have put in place appropriate security measures and safeguards to protect your personal data and ensure that our retention of your personal data is compliant with GDPR and all relevant UK legislation. We will not subject you to decisions that will have a significant impact on you based solely on automated decision-making.

Individual rights under GDPR

- Request access to your personal information (commonly known as a “data subject access request”). This enables you to receive a copy of the personal information we hold about you and to check that we are lawfully processing it.
- Request correction of the personal information that we hold about you. This enables you to have any incomplete or inaccurate information we hold about you corrected.
- Request erasure of your personal information. This enables you to ask us to delete or remove personal information where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal information where you have exercised your right to object to processing (see below).
- Object to processing of your personal information where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this ground. You also have the right to object where we are processing your personal information for direct marketing purposes.
- Request the restriction of processing of your personal information. This enables you to ask us to suspend the processing of personal information about you, for example if you want us to establish its accuracy or the reason for processing it.
- The right to obtain and reuse your personal data for your own purposes across different services otherwise known as the right to data portability.

The right to Object

If you would not like to receive further marketing correspondence from us please contact our data protection officer (DPO) whose details are below. You have the right to make a complaint at any time to the Information Commissioner's Office (ICO), the UK supervisory authority for data protection issues.

Contact Details

If you have any questions about this privacy notice or how we handle your personal information, please contact our DPO at compliance@stockdalesecurities.com.

The Data Protection Officer, Stockdale Securities, 100 Wood Street, London, EC2V 7AN.