

## Privacy Notice – Tilney for Haines Watts

The privacy of your personal information is very important to us. This Privacy Notice explains how we (the data controllers identified below) use your personal information. It also describes your data protection rights, including a right to object to some of the processing which we carry out.

This Privacy Notice applies to information held about you, or your directors, partners, members, officers, employees, contractors, consultants, family members, trustees, beneficiaries, powers of attorney, representatives, agents or any other related individual as appropriate. For the purpose of this Privacy Notice, “you” or “your” means you or any of the above listed individuals as appropriate.

In relation to any information we collect about you, whether you are a client, a prospective client or a contact of a client or a prospective client, the data controller is Tilney for Haines Watts, which is a trading name of Evelyn Partners Group Limited.

To the extent we provide Investment Management or Financial Planning products or services to you, the data controller is Tilney for Haines Watts which provides these products or services to you under the applicable Terms of Business, unless we inform you otherwise. Where we communicate with you, in particular to offer services or pre-contractually, the data controller is Tilney for Haines Watts.

### How do we receive your information?

We may receive information about you from one or more of the following sources:

- Directly from you:
  - When you fill in forms or applications and when you request any products or services
  - Through your interactions with us by post, email, telephone, in person, via our websites, secure portals or by any other means
  - By the way you use the financial products you hold or take out with us and from your use of our website
- Haines Watts
- From individuals or firms acting on your or our behalf (e.g. powers of attorney, solicitors, accountants, financial advisers, platform providers or custodians)
- Data aggregators, which in themselves receive personal information from other parties and sources including publicly available sources
- Credit reference agencies and identification, verification and screening tools service providers which receive information from other parties, including publicly available sources
- Our existing clients, connections or affiliates who refer us to you
- Public sources such as Companies House, the electoral roll as well as news or social media
- When carrying out due diligence on an organisation that we intend to acquire, books of business or teams that we intend to acquire where it is not possible to anonymise the information
- From individuals or firms setting up a trust of which you may be a related party (e.g. settlor, protector, trustee or beneficiary)

## What information do we collect from you?

Information we process about you includes (but is not limited to):

- Contact information such as your name, address, email address, phone number and other contact information
- Personal identifiers such as personal identification numbers, identity and verification documents
- Financial information, information about your wealth, assets, credit position, the products you have invested in, tax residency, details of any payments you make or receive, household income, employment status and details of your business interests. This includes information about the source of your wealth and source of funds
- Credit worthiness, open-source media including adverse media and potential criminal or regulatory investigations or conviction information resulting from any due diligence checks we will undertake about you
- Information about your lifestyle, hobbies, interests and family, next of kin or other relationships where necessary
- Details of third parties connected to you such as your professional advisers (e.g. accountants or solicitors) or connections who you may introduce to us
- Information we obtain from you about the way you do business with us, such as when you use our telephone services; websites (including IP address(es), device types used and country of access); our client portals and applications; when you write to us; when you apply for our products or services or enter into competitions or promotions; or any other time you contact us, including through social media
- Any other information about you that you disclose to us when completing your Account Application or during the course of our relationship in providing services to you including information about the way you use and manage your account(s)

The personal information that we collect about you may also include more sensitive types of information such as your racial or ethnic origin, criminal or alleged criminal offences or your health and wellbeing. We will usually seek permission from you in writing to collect this type of information.

## How will we use the information we collect about you?

We use the personal information about you for a number of reasons:

- ❖ **Where necessary to perform a contract with you**
  - To provide you with products and services and administer your account as set out in the contract between us
  - To manage the client relationship
  - To communicate with you
  - To provide corporate benefit services

❖ **Where necessary to comply with a legal obligation**

- To comply with requirements of any applicable legislation and regulation (e.g. Anti-Money Laundering, Anti-Bribery and the Markets and Financial Instruments Directive, Economic Sanctions regimes and any other applicable legislation and regulations that require data retention and/or use). This could result in processing of information about actual or alleged criminal convictions
- For verification purposes (e.g. as required by applicable Money Laundering Regulations and other applicable financial crime legislation). For example, in order to satisfy our obligations under anti-money laundering laws and legislation we are required to verify the identity of all clients and, where relevant, beneficial owners of such clients as well as relevant related parties (for example, if you are a trustee, executor or person of interest under a trust or a partnership; or if you are a company then your directors, officers, shareholders, members and/or trustees and trust beneficiaries as relevant) and other information (including but not limited to details of any nationality, citizenship or rights of residence you hold). We may do this using an electronic verification system that we consider suitable or by asking you for suitable documentary evidence
- We are also required under financial crime laws and regulations including the Money Laundering Regulations to verify certain other information about your source of wealth and source of funds in certain circumstances and may ask for documentary evidence or use third party service providers to do so
- In connection with legal claims, (including disclosure of personal information in connection with legal process or litigation). The latter may include special category information contained in documents, telephone or video recordings
- To fulfil our obligations under any reporting agreement entered into with any tax authority or requirement from the regulator(s) from time to time

If you fail to provide us with this information that we need to know about you for the above purposes, the consequences are that we may not be able to provide any services to you.

❖ **Where it is in our or a third party's legitimate interests, as listed below, and where these interests are not overridden by your fundamental rights and freedoms**

- For security and training purposes
- To monitor or record telephone and video conversations or other communications between you and us. Recordings of telephone and video conversations may take place without the use of a warning tone. We use these recordings (or transcripts of them):
  - To check your instructions to us
  - To analyse, assess and improve our services to clients
  - For training and quality purposes
  - To help us investigate any complaint you may make
  - As evidence in any dispute or anticipated dispute between you and us
  - Where required by applicable regulation
- To improve how we interact with you through our website, services, communications and products, and to improve our website user experience (e.g. by enabling user feedback on our website)
- To better understand how clients interact with our secure portals to further improve them
- To develop new products and services, including:
  - To analyse our client base in order to establish whether it (as a collective) may be interested in new products and services highlighted by market trends
  - To develop new products and services which would be suitable for you based on wider information, including trade frequency, client log ins and account values
  - To test software and system improvements by using pseudonymised/anonymised information where possible
- To offer new investment products or financial services to you that we think may be of interest, based on what we know about you

- To invite you to and manage events and inform you of our and our group companies' relevant products and services by email, telephone, letter and other digital methods unless you ask us not to - you can determine the extent of our communication to you through the links or instructions in any email we send you, or by contacting us using the details below
- To prepare research and anonymised or pseudonymised statistical reports, including reports on what our typical clients are like
- As part of profiling in order to better understand you, our clients and prospective clients (including the products and services you may be interested in). We work with third party organisations who provide additional insight, such as information about your wealth, profession and attributes and information about you that is publicly available
  - In relation to clients, we use information we already hold about you in combination with information we obtain with third party organisations and public sources to better understand you and your network
  - In relation to prospective clients, we use information that we obtain or learn from our existing clients and connections (e.g. our clients' professional advisers) in combination with information we obtain with third party organisations and public sources to identify you, better understand you and to market to you using the methods described above
- To identify potential prospective clients based on what we know about you and your network (where you are a client)
- To gain an understanding of the typical client and prospective clients in order to identify those who may be interested in our and our group's services and to tailor our marketing to prospective clients accordingly
- If you are a client, to obtain referrals from you based on your networks and connections and if you are a prospective client, to obtain introductions to you from our clients and other connections
- To follow up with you after you request information to see if we can provide any further assistance
- To ensure that complaints are investigated
- To prevent or detect abuse of our services or any of our rights, and to protect our (or others') property or rights
- To take measures to comply with applicable laws and regulations so we can counter the risk of being used for financial crime purposes
- To share information with relevant third parties in the context of a sale or potential sale of a relevant part of our business, subject always to confidentiality obligations
- Auditing, assurance and compliance monitoring
- We may also use automated processes whenever we use your information

You have the right to object to processing where it is in our or a third party's legitimate interests by contacting us at: The Data Protection Officer, Tilney for Haines Watts, 45 Gresham Street, London, EC2V 7BG or by email: [dataprotection@evelyn.com](mailto:dataprotection@evelyn.com).

❖ **With your consent**

- With your consent, where such consent is required under the applicable regulations and data protection laws, to send you information about products and services of ours and other companies in our group which may be of interest to you. You may withdraw your consent or otherwise opt out of receiving this information at any point. You can contact us using the details below; or opt to unsubscribe from marketing communications by using the method contained in any marketing message.
- With your consent, to use images and video content of you for publicity purposes.
- With your consent, to collect special category information such as information about your health and wellbeing in order to provide you suitable investment management services or financial planning advice. We will seek your explicit consent when collecting this information.
- For any other purpose where you have provided your explicit consent for such processing.

You have the right to withdraw your consent at any time. This will not affect the lawfulness of any processing that we carried out before your withdrawal. If you choose to withdraw your consent, we may not be able to provide you with certain products and services.

## Providing third party information to us

Sometimes we receive personal information relating to third parties, for example family members, joint account holders, underlying clients or beneficiaries. When this information is provided to us, we expect that you have obtained any necessary permissions from such persons to the reasonable use of their personal information for the purposes referred to in this Privacy Notice.

## Cookies

We use cookies and similar technologies on our websites and in our emails. These technologies do many different things, such as letting you navigate between web pages efficiently and remembering your preferences. In emails they help us to understand whether you have opened the email and how you have interacted with it.

Please refer to our Cookie Policy for further details on these technologies, how and where we use them and how you can control them.

## Who do we share your information with?

We share your personal information with:

- Other of our Group companies (for example, to satisfy our anti-money laundering requirements and account opening purposes)
- Our service providers who act only on our instructions (e.g. service and software providers, IT and hosted services, compliance monitoring services) including their sub-contractors
- Third parties who provide services to you and/or us (e.g. independent financial advisers, platform providers and custodians) including their sub-contractors, your advisers or anyone you have confirmed has your permission to deal with your accounts
- Third parties who assist us with background checks for due diligence purposes and ongoing anti-money laundering and financial crime monitoring as required by law (e.g. [Refinitiv](#))
- Our professional advisors (e.g. suppliers, professional advisors, solicitors, auditors, insurers)
- Data aggregators
- Website optimisation technologies (e.g. [GetSiteControl](#), [HotJar](#))
- Statistics and research providers (e.g. [Nisus](#))
- Websites that help us to identify new prospective clients such as Meta Pixel by Facebook, Google Tag Manager and LinkedIn Insight Tag
- The representatives of a potential buyer, transferee, merger partner or seller if we wish to buy, sell, transfer or merge part or all of our business or assets
- Another client where we collected your information as part of providing services to that client (e.g. relatives, partners or spouses)
- Owners of other linked accounts where you have authorised this
- Prospective clients you refer to us (we may tell them that you referred us)
- Law enforcement agencies or other authorities to comply with legal or regulatory obligations (e.g. HMRC or the FCA)

## Transfers of personal information outside the United Kingdom

Personal information in our possession may be transferred to countries and jurisdictions which are outside the UK. These may be where your investments are held, where transactions are effected, from where you receive or transmit information about your investments and where underlying managers conduct their activities.

These countries and jurisdictions may have differing (and potentially less stringent) laws relating to the protection of personal information. They may also have less stringent laws relating to the degree of confidentiality afforded to your information.

Information can become subject to the laws and disclosure requirements of such territories, including disclosure to governmental bodies, regulatory agencies and private persons as a result of applicable governmental or regulatory inquiries, court orders or other similar processes.

If we transfer your information outside the UK, we will make sure that it is done lawfully and will only occur where:

- we have your consent to share, or the transfer is otherwise legally allowed;
- the transfer is to a country that the UK has determined offers adequate data protection; or
- appropriate legal safeguards have been put in place in accordance with Data Protection Legislation. For further information about the relevant safeguards, please contact the Privacy Office using the details provided below.

## Security of your information

We will take appropriate steps to store, process and send your personal information securely. Our employees are trained on and are aware of their responsibility to maintain your privacy.

We will take appropriate technical and organisational security measures against the accidental loss, destruction, damage and/or the unauthorised or unlawful use of your personal information. These will include ensuring that any service provider provides sufficient security guarantees in relation to any data processing it undertakes on our behalf.

## How long do we keep hold of your information?

We will only hold your personal information for as long as it is required to provide you with the services you have asked for, or for as long as we are legally required under applicable laws. This includes:

- If you are interested in taking out a product or service with us, we will keep the information we have collected between six months and seven years from the end of interactions, depending on the stage in the application process you are at (e.g. where you chose not to open your account with us but we have conducted verification of identity and other checks).
- If you are our client, we will keep the information we hold about you as long as you are a client or for as long as we are required to by applicable legal and regulatory requirements.

- If you used to have an account with us, or with a company we have acquired or merged with, but your account is now closed:
  - For most products and services, your information will be retained for seven years following account closure.
  - If you have received services from us (or certain companies we have acquired or merged with) your information may be retained for longer periods so that we can respond to questions or complaints you might have, to maintain records according to rules that apply to us (including to ensure you receive no direct marketing from us), or to fight financial crime (including fraud, to manage our financial crime risk and to fulfil our obligations under applicable financial crime laws and regulations).

Once we no longer need your personal information, we securely destroy it.

## What are your rights in relation to the personal information we hold about you?

This section explains what rights you have under data protection law. If you want to exercise any of these rights, or if you would like further information about them, you can contact us using the details set out in the 'Contact Us' section below.

We will grant your rights request only to the extent that, following an assessment of your request, we are allowed and required to do so under data protection law. Your rights may be limited; for example, if fulfilling your request would unfairly reveal personal information about another person, or if you ask us to delete information which we are required by law or have a compelling legitimate interest to keep.

You have the right to:

1. ask for a copy of the personal information we hold about you in a written format, free of charge.
2. require us, and any third parties who we have shared your personal information with, to correct any inaccuracies in your personal information.
3. in certain cases, ask us to restrict or suppress further use of your personal information. When you have exercised this right, we can still store your personal information but may not use it further unless you provide your consent for us to do so or as otherwise permitted by law.
4. object to the processing of your personal information in certain circumstances.
5. have the personal information we hold about you erased in certain circumstances, unless it prevents us from carrying out the services you have requested or prevents us from meeting our legal obligations.
6. obtain and reuse your personal information for your own purposes across different organisations; for example, if you wish to move to a new financial services provider. This enables you to move, copy or transfer your personal information easily between our IT systems and another provider's safely and securely (where technically feasible), without affecting its usability.
7. lodge a complaint about how we collect, process and store your personal information with our Data Protection Officer (details below), or with the supervisory authority: Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF.

## Contact us

You can contact the Tilney for Haines Watts Privacy Office to exercise any of the rights relating to your personal information as set out above, or if you have any questions or comments about privacy issues, or wish to raise a complaint about how we are using your personal information, by emailing [dataprotection@evelyn.com](mailto:dataprotection@evelyn.com).

You may also contact our Data Protection Officer by post: The Data Protection Officer, Tilney for Haines Watts, 45 Gresham Street, London, EC2V 7BG.

## Changes to our Privacy Notice

We keep our Privacy Notice under regular review and we will update this document from time to time as required. This Privacy Notice was last updated June 2022.