



Advice RegTech - **Privacy Policy**

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1. Advice RegTech Privacy Policy

Overview

Advice RegTech Pty Ltd ABN 21 617 175 710 ('Advice RegTech', 'we', 'us' or 'our') is fully committed to maintaining client confidentiality and privacy. In order to promote transparency and ensure confidence in how personal information is being used within Advice RegTech, this Privacy Policy outlines what personal information we store, how we use personal information, and other specific details relating to personal information. Throughout this Privacy Policy we refer to 'personal information' which means information that identifies a person as an individual or from which a person can reasonably be identified. We also refer to 'you' as the person whose personal information we collect and hold.

What Personal Information Do We Collect?

Advice RegTech collects personal information from its: website visitors; SaaS application clients / users; and employees. The types of personal information that we collect includes only necessary information for the relevant function or activity.

A. Public website visitor information

for the purpose of responding to enquiries and tracking cookies for visitor interest in areas of our public website. Contact form information collected includes:

- Name
- Email
- Company
- Phone
- Comment.

Please see our detailed Internet Privacy Policy attached.

B. SaaS application information

for the purpose of users being able to access and use the SaaS application:

- Full name
- Work email address
- Mobile phone number
- Employer / company name and business address
- User ID / account identifier
- Work role and permissions.

The SaaS application handles items from clients / users for compliance reviews and record keeping, which may contain other personal information. See 'How do we store and protect personal information' for information on the multiple levels of security in place and how we take reasonable steps to protect personal information from misuse, interference and loss, and from unauthorised access, modification or disclosure.

C. Employee Information

for the purpose of conducting background checks, administering payroll including superannuation payment and tax obligations, onboarding, managing and offboarding employees and contractors.

- Name

- Address
- Email Address
- Phone
- Date of birth
- Tax File Number
- Superannuation fund member number
- Emergency contact details
- HR records including background checks and performance records.

Where it is reasonably practical to do so, we will collect your personal information directly from you.

We may collect personal information through some of the following means:

- from any person nominated by you, including solicitors, accountants and financial planners or their Australian Financial Services Licensees (AFSL);
- in the course of administering or providing any of our services, including when you provide us with information verbally, or complete and submit written forms;
- when you access and use our SaaS application, website, subscribe to our email service, or or social media;
- when you communicate with us via telephone, email, or otherwise correspond with us (whether in writing or electronically);
- in the course of administering, performing or managing contracts with our service receivers, service providers or other third parties;
- when you provide us with information in response to direct marketing or customer satisfaction and market research surveys and questionnaires;
- when you apply for employment with us; and
- as otherwise required to manage our business.

You have no obligation to provide any personal information requested by us. However, if you choose to withhold personal information, we may not be able to provide you with certain parts of our products or services.

How Do We Use The Personal Information We Collect?

We use the personal information that we collect to supply our products and services. In particular, we may collect, hold, use and disclose personal information:

- to offer and provide our products and services, or request feedback about products and services received;
- to manage and administer those products and services;
- for direct marketing purposes, including to prepare and provide marketing information about our products and services and those of our related companies and other organisations in accordance with the Privacy Act 1988 (Cth);
- to conduct business planning and research, including analysing general statistical information regarding the use of our website and SaaS application;
- to communicate with you;
- to comply with our legal and regulatory obligations;
- for any purpose disclosed to you and to which you have consented;
- for any purpose that you would otherwise reasonably expect; and
- otherwise to appropriately manage and conduct our business, including performing administrative functions such as billing, accounts, user management and records management.

We do not use the personal information that we collect to develop artificial intelligence and machine learning algorithms and models. Algorithms and models are developed using de-identified data.

Advice RegTech will never disclose or share personal information obtained from its clients, customers, users or employees / contractors with other people or organisations, except for:

- our contractors, suppliers, partners, service providers (including organisations that provide us with technical and support services); and
- our professional advisors, auditors or consultants, where permitted by the Privacy Act 1988 (Cth).

If we disclose information to a third party, we generally require that the third party protect that information to the same extent that we do.

How Do We Store and Protect Personal Information?

Advice RegTech has multiple levels of security in place and takes reasonable steps to protect personal information from misuse, interference and loss, and from unauthorised access, modification or disclosure. All personal information is stored in encrypted cloud-based platforms, within Australia, that require two-factor authentication in order to access. No personal information is stored in physical format. Only employees whose work function specifically requires the use of personal information are authorised to access the personal information. Whenever possible, personal information is anonymised so that no personal information is accessed unnecessarily. We destroy personal information that we hold when requested by clients. Employees are required to sign nondisclosure agreements prior to handling personal information. For a comprehensive listing of firm information security procedures, a copy of the Advice RegTech Information Security Policies and Procedures is available upon request.

Rights

Please contact our Privacy Officer using the details below if you wish to:

- withdraw your consent to our usage of your personal information at any time;
- request a copy of the personal information about you that we store; or
- request that incorrectly recorded personal information be rectified.

We are not obliged to correct any of your personal information if we do not agree that it requires correction and we may refuse to do so. If we refuse a correction request, we will provide you with a written notice stating our reasons for refusing. We will respond to any request regarding your personal information within 30 days of receiving the request. You may lodge a complaint about our collection, storage and use of your personal information with a supervisory authority. We may seek to recover reasonable costs incurred for providing you with access to any of the personal information about you held by us.

Changes to the Privacy Policy

We will review this Privacy Policy periodically and we may update it at any time, making this accessible to clients on the Advice RegTech SAMI Help Centre.

Contact

Any questions regarding the Advice RegTech Privacy Policy or the usage of personal information within the firm can be directed towards the Privacy Officer at the email privacy@adviceregtech.com. Advice RegTech registered office is Level 17, 44 Market St, Sydney, NSW, 2000.

This document was last updated on 11 December 2025.

2. Public Website - Internet Privacy Policy

<https://adviceregtech.com/>

This web site is owned and operated by Advice RegTech Pty Ltd and will be referred to as "We", "our" and "us" in this Internet Privacy Policy. By using this site, you agree to the Internet Privacy Policy of this web site ("the web site"), which is set out on this web site page. The Internet Privacy Policy relates to the collection and use of personal information you may supply to us through your conduct on the web site. We reserve the right, at our discretion, to modify or remove portions of this Internet Privacy Policy at any time. This Internet Privacy Policy is in addition to any other terms and conditions applicable to the web site. We do not make any representations about third party web sites that may be linked to the web site. We recognise the importance of protecting the privacy of information collected about visitors to our web site, in particular information that is capable of identifying an individual ("personal information"). This Internet Privacy Policy governs the manner in which your personal information, obtained through the web site, will be dealt with. This Internet Privacy Policy should be reviewed periodically so that you are updated on any changes. We welcome your comments and feedback.

Personal Information

1. Personal information about visitors to our site is collected only when knowingly and voluntarily submitted. For example, we may need to collect such information to provide you with further services or to answer or forward any requests or enquiries. It is our intention that this policy will protect your personal information from being dealt with in any way that is inconsistent with applicable privacy laws in Australia.

Use of Information

2. Personal information that visitors submit to our site is used only for the purpose for which it is submitted or for such other secondary purposes that are related to the primary purpose, unless we disclose other uses in this Internet Privacy Policy or at the time of collection. Copies of correspondence sent from the web site, that may contain personal information, are stored as archives for record-keeping and back-up purposes only.

Collecting information on Registered members

3. As part of registering with us, we collect personal information about you in order for you to take full advantage of our services. To do this it may be necessary for you to provide additional information to us as detailed below.

4. Registration is completely optional. Registration may include submitting your name, email address, address, telephone numbers, option on receiving updates and promotional material and other information. You may access this information at any time by contacting us at privacy@adviceregtech.com.

Collection of Personal Information

3. Providing Personal Information as part of an enquiry is completely optional. Registration may include submitting your name, email address, address, telephone numbers, option on receiving updates and promotional material and other information.

4. You may access this information at any time by contacting us at privacy@adviceregtech.com.

Disclosure

5. Apart from where you have consented or disclosure is necessary to achieve the purpose for which it was submitted, personal information may be disclosed in special situations where we have reason to believe that doing so is necessary to identify, contact or bring legal action against anyone damaging, injuring, or interfering (intentionally or unintentionally) with our rights or property, users, or anyone else who could be harmed by such activities. Also, we may disclose personal information when we believe in good faith that the law requires disclosure.

6. We may engage third parties to provide you with goods or services on our behalf. In that circumstance, we may disclose your personal information to those third parties in order to meet your request for goods or services.

Security

7. We strive to ensure the security, integrity and privacy of personal information submitted to our sites, and we review and update our security measures in light of current technologies. Unfortunately, no data transmission over the Internet can be guaranteed to be totally secure.

8. However, we will endeavour to take all reasonable steps to protect the personal information you may transmit to us or from our online products and services. Once we do receive your transmission, we will also make our best efforts to ensure its security on our systems.

9. In addition, our employees and the contractors who provide services related to our information systems are obliged to respect the confidentiality of any personal information held by us. However, we will not be held responsible for events arising from unauthorised access to your personal information.

Collecting Information from Users

10. *Cookies and Applets* We use cookies to provide you with a better experience. These cookies allow us to increase your security by storing your session ID and are a way of monitoring single user access. This aggregate, non-personal information is collated and provided to us to assist in analysing the usage of the site.

Access to Information

11. We will endeavour to take all reasonable steps to keep secure any information which we hold about you, and to keep this information accurate and up to date. If, at any time, you discover that information held about you is incorrect, you may contact us to have the information corrected.

12. In addition, our employees and the contractors who provide services related to our information systems are obliged to respect the confidentiality of any personal information held by us.

Links to other sites

13. We provide links to Web sites outside of our web sites, as well as to third party Web sites. These linked sites are not under our control, and we cannot accept responsibility for the conduct of

companies linked to our website. Before disclosing your personal information on any other website, we advise you to examine the terms and conditions of using that Web site and its privacy statement.

Problems or questions

14. If we become aware of any ongoing concerns or problems with our web sites, we will take these issues seriously and work to address these concerns. If you have any further queries relating to our Privacy Policy, or you have a problem or complaint, please contact us. Any questions regarding the Advice RegTech Privacy Policy or the usage of personal information within the firm can be directed towards the Privacy Officer at the email privacy@adviceregtech.com. Advice RegTech registered office is Level 17, 44 Market St, Sydney, NSW, 2000.

15. For more information about privacy issues in Australia and protecting your privacy, visit the Australian Federal Privacy Commissioner's web site; <http://www.privacy.gov.au/>.

Changes to the Privacy Policy

This Internet Privacy policy was last updated 11 December 2025, as was the Advice RegTech Privacy Policy attached. We will review the Privacy Policy/ies periodically and we may update them at any time by posting the new terms of the Privacy Policy on our Website. Please periodically check our Privacy Policy to ensure you are aware of any recent updates
<https://adviceregtech.com/privacy-policy>