

Forte AUD (Ticker: AUDF) Privacy Policy

1. Introduction

Forte Tech Solutions Pty Ltd ABN 63 656 181 065 (**FTS**) and Forte Securities Australia Pty Limited ACN 614 579 734 (**FSA**) (referred to as **Forte, we, our, us**) is bound by the Privacy Act 1988 (**Privacy Act**), including the Australian Privacy Principles (**APPs**), and recognises the importance of ensuring the confidentiality and security of your personal information.

This Privacy Policy and Collection Statement (**Privacy Policy**) is available free of charge and can be downloaded from our website.

2. What kind of personal information do we collect and hold?

We may collect and hold a range of personal information about you to provide you, or an entity that you are a representative of or have an ownership interest in, with our services. This information includes your name, address, date of birth, phone number, email address, occupation, bank account detail, driver's licence details and financial information.

3. How do we collect personal information?

We generally collect personal information directly from you. For example, personal information will be collected through our application processes, forms and other interactions with you in the course of providing you with our products and services.

We may also collect personal information about you from a third party, such as an entity in which you are a representative of or have an ownership interest in, electronic verification services, referrers and marketing agencies. We may also collect your personal information from our associated entities by your instructions, consent and in compliance with privacy and contractual arrangements as well as with regulation applicable to your relations with such associated entity. If so, we will take reasonable steps to ensure that you are made aware of this Privacy Policy. We may also use third parties to analyse traffic at our website, which may involve the use of cookies. Information collected through such analysis is anonymous.

We will not collect sensitive information about you without your consent, unless an exemption in the APPs applies. These exceptions include if the collection is required or authorised by law, or necessary to take appropriate action in relation to suspected unlawful activity or serious misconduct.

If the personal information we request is not provided, we may not be able to provide our products and services.

4. Unsolicited personal information

We may receive unsolicited personal information about you. We destroy or de-identify all unsolicited personal information we receive, unless it is relevant to our purposes for collecting personal information. We may retain additional information we receive about you if it is combined with other information we are required or entitled to collect. If we do this, we will retain the information in the same way we hold your other personal information.

5. Who do we collect personal information about?

The personal information we may collect and hold includes (but is not limited to) personal information about clients, potential clients, service providers or suppliers, prospective employees, employees and contractors and other third parties with whom we come into contact.

6. Website collection

We may use third parties to analyse traffic on our website, which may involve the use of cookies. Information collected through such analysis is anonymous.

To use our website, you must consent to our use of cookies. You can withdraw or modify your consent to our use of cookies at any time. If you no longer wish to receive cookies, you can use your web browser settings to accept, refuse and delete cookies. To do this, follow the instructions provided by your browser. Please note that if you set your browser to refuse cookies, you may not be able to use all of the features of our website.

Cookies do not contain personal information in themselves but can be used to identify a person when combined with other information. Cookies are small text files which are transferred to your computer's hard drive through your web browser that enables our website to recognise your browser and capture and remember certain information.

7. Why do we collect and hold personal information?

We may use and disclose the information we collect about you for the following purposes:

- provide products and services to our customers;
- to verify your identity in order to meet our KYC obligations;
- review and meet your ongoing needs;
- provide you with information we believe may be relevant or of interest to you;
- let you know about other products or services we offer, send you information about special offers or invite you to events;
- consider any concerns or complaints you may have;
- comply with relevant laws, regulations and other legal obligations; and

- help us improve the products and services offered to our customers and enhance our overall business.

We may use and disclose your personal information for any of these purposes. We may also use and disclose your personal information for secondary purposes which are related to the primary purposes set out above, or in other circumstances authorised by the Privacy Act.

Sensitive information will be used and disclosed only for the purpose for which it was provided (or a directly related secondary purpose), unless you agree otherwise, or an exemption in the Privacy Act applies.

8. Who might we disclose personal information to?

We may disclose personal information to:

- a related or associated entity of Forte, including FTS or FSA (as the case may be), Forte Securities Limited (UK), Forte Solutions (Switzerland) and any other parent, subsidiary or associate of any of the foregoing;
- an agent, contractor or service provider we engage to carry out our functions and activities, such as our bankers, lawyers, accountants, debt collectors or other advisers;
- organisations involved in managing payments, including payment merchants and other financial institutions, such as banks;
- organisations involved in exchanging cryptocurrency to fiat, and vice versa, such as cryptocurrency exchanges and other OTC providers;
- regulatory bodies, government agencies, law enforcement bodies and courts;
- financial product issuers; and
- anyone else to whom you authorise us to disclose it or is required by law.

9. Sending information overseas

We may disclose personal information to cloud-based providers, suppliers and our related entities that may be located outside Australia in some circumstances. These recipients may be located in England, Switzerland, Hong Kong, France, Monaco or the United Arab Emirates.

10. Management of personal information

Your personal information is generally stored in our computer database. Any paper files are stored in secure areas.

We recognise the importance of securing the personal information of our customers. We will take reasonable steps to ensure your personal information is protected from misuse, interference or loss, and unauthorised access, modification or disclosure.

However, data protection measures are never completely secure and despite the measures we have implemented, we cannot guarantee the security of your personal information. You should notify us as soon as possible if you become aware of any security breaches. Any submission of personal information is at your own risk.

11. Direct marketing

We may only use personal information we collect from you for the purposes of direct marketing without your consent if:

- the personal information does not include sensitive information; and
- you would reasonably expect us to use or disclose the information for the purpose of direct marketing; and
- we provide a simple way of opting out of direct marketing; and
- you have not requested to opt out of receiving direct marketing from us.

If we collect personal information about you from a third party, we will only use that information for the purposes of direct marketing if you have consented (or it is impracticable to obtain your consent), and we will provide a simple means by which you can easily request not to receive direct marketing communications from us. We will draw your attention to the fact you may make such a request in our direct marketing communications.

You have the right to request us not to use or disclose your personal information for the purposes of direct marketing, or for the purposes of facilitating direct marketing by other organisations. We must give effect to the request within a reasonable period of time. You may also request that we provide you with the source of their information. If such a request is made, we must notify you of the source of the information free of charge within a reasonable period of time.

12. How do we keep personal information accurate and up-to-date?

We are committed to ensuring that the personal information we collect, use and disclose is relevant, accurate, complete and up to date.

We encourage you to contact us to update any personal information we hold about you. If we correct information that has previously been disclosed to another entity, we will notify the other entity within a reasonable period of the correction. Where we are satisfied information is inaccurate, we will take reasonable steps to correct the information within 30 days, unless you agree otherwise. We do not charge you for correcting the information.

13. Accessing your personal information

Subject to the exceptions set out in the Privacy Act, you may gain access to the personal information that we hold about you by contacting Forte Privacy Officer. We will provide

access within 30 days of the individual's request. If we refuse to provide the information, we will provide reasons for the refusal.

We will require identity verification and specification of what information is required.

14. Updates to this Privacy Policy

This Privacy Policy may be updated from time to time to take account of new laws and technology, and changes to our operations and the business environment. The latest version of the Privacy Policy will be available from our website.

15. Complaints

You can make a complaint to us about the treatment or handling of your personal information by lodging a complaint with the Privacy Officer.

If you have any questions about this Privacy Policy, or wish to make a complaint about how we have handled your personal information, you can lodge a complaint with us by:

- emailing – legal@fortesecurities.com

If you are not satisfied with our response to your complaint, you can also refer your complaint to the Office of the Australian Information Commissioner by:

- telephoning – 1300 363 992
- writing – Director of Complaints, Office of the Australian Information Commissioner, GPO Box 5218, SYDNEY NSW 2001
- online submission – https://forms.business.gov.au/smartforms/landing.htm?formCode=APC_PC

16. Definitions

- **Personal information** means information or an opinion relating to an individual, which can be used to identify that individual.
- **Sensitive information** is personal information that includes information relating to a person's racial or ethnic origin, political opinions, religion, trade union or other professional or trade association membership, sexual preferences and criminal record, and also includes health information.