

STORYWEALTH

Your Future. Your Wealth. Your Story.

SWM (AUST) Pty Ltd
AFSL 515107

Privacy Policy

24th November 2025



Our Commitment to Your Privacy

Story Wealth Management Pty Ltd (ABN 27 091 207 000), a Corporate Authorised Representative of SWM (Aust) Pty Ltd (ABN 79 631 564 853, AFSL 515107), respects your right to privacy. We handle personal information in accordance with the Privacy Act 1988 (Cth) and the Australian Privacy Principles (APPs).

We are also bound by obligations to collect certain information in order to provide regulated financial services under the *Corporations Act (Cth) 2001*, *Anti-Money Laundering and Counter-Terrorism Financing Act 2006 (Cth)*, *Insurance Contracts Act 1984 (Cth)*, *Income Tax Assessment Act 1936 (Cth)*, and the *Notifiable Data Breaches (NDB) Scheme*.

1. What We Collect

We collect personal information that helps us provide financial advice and related services. This may include:

- Identity details (name, date of birth, address, contact details);
- Financial, tax, and employment details;
- Health and insurance information (where required);
- Sensitive information only with your consent.

If you choose not to provide required information, we may be unable to offer or manage our services effectively.

2. How We Collect Information

We usually collect information directly from you — through meetings, phone calls, forms, or secure electronic communication. We may record client meetings and use an AI tool to produce transcripts and filenotes. As with all your information, the transcripts and file notes use secure software and are stored in accordance with our stringent data security.

We will always advise you when we intend to record a meeting and seek your explicit consent to do so prior to starting the recording. You may decline to have any meeting recorded if you are not comfortable.

We may also collect information from:

- Your authorised representatives (e.g., accountant, solicitor, executor);
- Employers, superannuation funds, insurers, or other financial institutions;
- Public registers and government agencies.

Our organisation is committed to protecting customers and employees from fraudulent or “spoof” emails — messages that appear legitimate but are sent in a malicious manner.



To safeguard against spoofing:

- No sensitive requests: We will never ask for personal or confidential information via email and will use our secure client portal.
- Email verification: Official emails will always include the sender's name, address, and a clear subject line.
- Attachments and links: We will never ask you to open attachments or click links within emails.
- Professional tone: We will never use threats or intimidation in email communication.
- Employee training: Staff receive regular education on identifying and reporting spoof emails and phishing attempts.
- System monitoring: Our email systems are continually monitored for suspicious activity, and any incidents are promptly investigated.

3. Why We Collect, Use and Disclose Information

We collect, use, and disclose personal information to:

- Provide, manage, and improve our financial services;
- Verify your identity and meet legal obligations (e.g., AML/CTF);
- Prevent fraud and meet compliance or audit requirements;
- Communicate with you, including sending information about our services (you may opt out at any time).

4. How We Store and Protect Your Information

Your information is stored securely in Australia in either electronic or paper form. We apply strict access controls, data encryption, and staff training to protect information from misuse, loss, or unauthorised access.

When no longer needed, data is securely destroyed or de-identified.

5. Disclosure to Third Parties and Overseas

We may share personal information with:

- Insurers, fund managers, banks and superannuation providers.
- IT and administrative service providers
- Auditors, compliance bodies, and regulators (e.g., ASIC, AUSTRAC, ATO)
- SWM (Aust) Pty Ltd (AFSL 515107) and related entities.

Most data is stored in Australia, but some service providers may operate overseas. Others may store data overseas (e.g., on cloud platforms). We ensure all third parties comply with privacy



requirements equivalent to the APPs (APP 8) and conduct regular due diligence on our service providers that operate overseas, to ensure they maintain the required levels of privacy controls and data security.

6. Marketing and Communication

We may contact you about products and services that may be relevant to you. You can opt out of marketing communications at any time by contacting us at support@storywealth.com.au.

7. Access and Correction

You may request access to, or correction of, your personal information by contacting us at support@storywealth.com.au.

We will respond within a reasonable timeframe and may charge a small fee for access.

If we refuse your request, we will provide written reasons and information on how to lodge a complaint (APP 12 & 13).

8. Complaints and Further Assistance

If you have a concern about how we handle your information, please contact us at compliance@storywealth.com.au.

We will acknowledge your complaint within 24 hours after receipt of your complaint. If further information is needed, we will request it from you to resolve your complaint.

We will provide an internal dispute resolution (IDR) response within 30 calendar days. If your complaint is complex or taking longer than expected, we will contact you and provide a date by which you can reasonably expect a response.

9. Updates

We may update this policy periodically. The current version is always available at www.storywealth.com.au or by calling 03 8560 3188.

Contact Us

Story Wealth Management Pty Ltd

PO Box 4079, Auburn South LPO VIC 3122

Email: compliance@storywealth.com.au | Phone: 03 8560 3188

This Privacy Policy was last revised on 24 November 2025