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## Privacy Notice

This privacy notice explains how MAIA Asset Management uses any personal information we collect about you.

MAIA Asset Management is authorised and regulated by the Financial Conduct Authority.

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### INTRODUCTION

Our Privacy Notice explains how we use your personal data, describes the categories of personal data we process and for what purposes.

We take your privacy seriously and you can find out more here about your privacy rights and how we gather, use and share your personal information.

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### HOW WE GATHER AND USE PERSONAL INFORMATION

We need to obtain information about you, so that we can provide the financial services you require. This information is obtained from a variety of sources either directly from you or indirectly from third parties.

We hold such information as Data Controllers in accordance with the requirements of the Data Protection Act 2018.

We will not share your information with any other party except as indicated in this Privacy Notice or where required to do so by any statutory, governmental or regulatory body for legitimate purposes.

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### WHAT INFORMATION DO WE COLLECT ABOUT YOU?

We collect information about you when you engage us for financial services. This information will relate to your personal and financial circumstances. We will collect basic personal details including your name and address, email address, telephone number, and any other contact details that you supply, such as, national insurance number and other tax details, nationality, citizenship, tax residency, banking details, date of birth and family connections.

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### WHY DO WE NEED TO COLLECT AND USE YOUR PERSONAL DATA?

The primary legal basis we intend to use for the processing of your data is for the performance of, or entry into, our contract with you. The information we collect about you is essential for us to be able to carry out the services you require from us effectively. Without collecting your personal data we'd also be unable to fulfil our legal and regulatory obligations.

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### HOW WILL WE USE THE INFORMATION ABOUT YOU?

We collect information about you in order to provide you with the services for which you engage us.

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### WHO MIGHT WE SHARE YOUR INFORMATION WITH?

We will not disclose your personal information to third parties except as detailed in this privacy notice.

To deliver our services to you effectively we may need to send your details to third parties such as platform providers, these include AJ Bell Securities, Aviva, Fidelity Funds Network, Wealthtime, Quilter, M&G Wealth, abrdn, Transact, Scottish Widows.

Where third parties are involved in processing your data we will have a contract in place with them to ensure the nature and purpose of the processing is clear, that they are subject to a duty of confidence in processing your data and that they will only act in accordance with our written instructions.

To fulfil our obligations in respect of prevention of money-laundering and other financial crime we may send your details to third party agencies for identity verification purposes.

We will not share your information with any other party except as indicated in this Privacy Notice or where required to do so by any statutory, governmental or regulatory body for legitimate purposes.

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#### HOW LONG DO WE KEEP HOLD OF YOUR INFORMATION?

Your personal data should not be held for longer than is required under the terms of our contract for services with you. We are subject to regulatory requirements to retain data for specified minimum periods. In addition, we are obliged to treat our customers fairly in the event of a future complaint and therefore reserve the right to retain data for longer than these specified minimum periods in order to allow us to investigate such complaints and, if necessary, defend a future claim against us.

We will therefore keep your personal information securely for as long as we need to for the purpose of providing you with financial services under the terms of our agreement (contract) or for as long as we are required to by relevant regulations in accordance with our data retention policy.

Where we are no longer providing you with services under our agreement we will, ordinarily, not retain personal data for longer than 6 years after your relationship with us ends.

Unless we are required to do so for the regulatory reasons stated above. We will regularly review our legal and regulatory obligations and our need to keep your personal information.

You have the right to request deletion of your personal data. We will comply with this request, subject to the restrictions of our regulatory obligations and legitimate interests as noted above.

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#### HOW CAN I ACCESS THE INFORMATION YOU HOLD ABOUT ME?

You have the right to request a copy of the information we hold about you. If you would like a copy of some or all of your personal information please email or write to us using the contact details noted below.

We have an obligation to ensure your personal information is accurate and up to date. Please ask us to correct or remove any information you think is incorrect.

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#### YOUR PRIVACY RIGHTS

As outlined above you have several rights under the regulations. For your convenience these are summarised below:

- Right to withdraw consent: Where you have given us your consent to use personal information, you can withdraw your consent at any time.
- Access to your personal information: You can request access to a copy of your personal information. We will not normally charge for providing this information to you.
- Portability: You can ask us to provide you or a third party with some of the personal information we hold about you in a commonly used electronic form.
- Rectification: You can ask us to change or complete any inaccurate or incomplete personal information held about you.

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- Erasure: You can ask us to delete your personal information where it is no longer necessary for us to use it, you have withdrawn consent, or where we have no lawful basis for keeping it. Note that we might be required by regulations to retain your information even if you want it to be deleted.
  - Right to object: You can object to our processing of your personal information for marketing purposes.
  - Restriction: You can ask us to restrict the personal information we use about you where you have asked for it to be erased or where you have objected to our use of it.

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#### WHAT CAN YOU DO IF YOU ARE UNHAPPY WITH HOW YOUR PERSONAL DATA IS PROCESSED?

If you are unhappy with how we have handled your information please contact us (see below for contact details). You also have a right to lodge a complaint with the supervisory authority for data protection. In the UK this is:

Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF or telephone: 0303 123 1113 website <https://ico.org.uk/>

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#### CHANGES TO OUR PRIVACY POLICY

We keep our privacy policy under regular review and we will place any updates on our web page. This privacy policy was last updated on 22/04/2024.

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#### HOW TO CONTACT US

Please contact us if you have any questions about our privacy policy or information we hold about you: by email at [info@MAIA-am.co.uk](mailto:info@MAIA-am.co.uk)

Or write to us at

MAIA Asset Management, April Barns, Redditch Road, Ullenhall, B95 5NY.