

## THIRD PARTY PRIVACY AND SPAM POLICY OVERVIEW

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Third Party Technologies Inc. (Third Party) respects your privacy, and has created its own privacy standards and practices, reflecting the standards of the Australian Privacy Principles in the *Privacy Act 1988* (Privacy Act).

Third Party also complies with the *Spam Act 2003*, which deals with restrictions on sending emails.

Although our policy specifically addresses Third Party and its obligations in respect of the laws of Australia. Having a presence in both Australia and the United States the privacy principles and procedures laid out below will be applied subject to the requirements of local law.

Third Party may modify this policy from time to time by publishing it on our website. We encourage you to check our website periodically to ensure that you are aware of Third Party's current privacy policy.

## HOW AND WHEN THIRD PARTY MAY COLLECT YOUR INFORMATION

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We generally do not collect personal information about you without your knowledge. We may collect or request information about you when we are or propose to be dealing with, or providing or marketing our services to, you, a client, or someone employing or engaging you. Generally, and where if appropriate, we will tell you why we are collecting personal information and how we plan to use it, or reason and use of the information we are collecting will be obvious to you when we collect the information.

Third Party may collect personal information including your business contact details, the name of any corporate entity on whose behalf you may be acting (especially if you are, or are affiliated with, a client, or potential client or customer of Third Party's subsidiary U.S. registered broker-dealer, Third Party Trade LLC. Where appropriate, we may collect other information – for example your corporate, financial, or other personally identifying information to the extent necessary to ensure compliance with all local law, and to protect ourselves from fraud or abuse by bad actors with who may try to improperly access our services or technology. We may also request to collect other personal information in the course of providing services to you or others.

If you apply for a job with us we may collect certain information from you such as your name and contact details, information about your working history and relevant records checks, which may include a credit check, from any recruitment consultant and from your previous employers, or others who may be able to provide information to us to assist us in our decision on whether to make you an offer of employment.

## COLLECTING YOUR INFORMATION USING THIS WEBSITE

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We generally only collect personal information from this website when it is provided voluntarily by you – for example, when you fill in a form to subscribe to our publications or to register to attend a seminar.

When you visit this website or download information from it, our Internet Service Provider (ISP) makes a record of your visit and records the following information:

- your Internet address;
- your domain name, if applicable; and
- the date and time of your visit to the website.

Our ISP also collects information such as the pages our users access on our website, the documents they download, links from other sites they follow to reach our site, and the type of browser they use. However, this information is anonymous and is only used for statistical and website development purposes.

#### HOW THIRD PARTY MAKES USE OF OR DISCLOSES YOUR INFORMATION

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We use your information to deal with, or provide or market our services to, you, a client or someone engaging or employing you and to comply with certain laws and regulations. We may share your information with other members of Third Party, as well as its affiliates. Third Party may also disclose your information to service providers, agents and contractors from time to time to help us to provide and market our services to you or as otherwise required or authorized by law who may receive or store your information in an overseas jurisdiction in the ordinary course of their business. For example, we may disclose your email address or other contact information to providers of software development services who may store the information in an overseas jurisdiction.

We handle personal information relying on the employee and related bodies corporate exemptions in the *Privacy Act* where those exemptions are relevant, and in compliance with local law. The Company's agents and service providers may be located outside Australia where your personal information may not receive the same level of protection as that afforded under Australian law.

To the extent that you are an Australian resident who holds CHES Depository Interests ("CDIs") in Third Party, the types of agents and service providers that may be provided with your personal information and the circumstances in which your personal information may be shared include: (i) the Share Registry for ongoing administration of the Security holder register; (ii) printers and other companies for the purpose of preparation and distribution of statements and for handling mail; (iii) market research companies for the purpose of analyzing the Company's Security holder base; (iv) for product development and planning; and (v) legal and accounting firms, auditors, contractors, consultants and other advisors for the purpose of administering, and advising on, the CDs for associated actions.

#### USE OF COOKIES

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Third Party makes limited or no use of cookies on its website. Cookies are pieces of information we send to you from our web server that return the message when your browser contacts our web server. This provides a means for Third Party to assess how frequently and in what manner its website is being used. Specifically, this information could include a unique identifier for your access to the site, as well as information about whether you have visited a particular web page. We do not use permanent cookies.

Third Party will not store personally information (email addresses, phone numbers, or other personally identifiable information in a cookie).

Most Internet browsers are set up to accept cookies. If you do not wish to receive cookies, you may be able to change the settings of your browser to refuse all cookies or to notify you each time a cookie is sent to your computer, giving you the choice whether to accept it or not.

## STORAGE AND SECURITY

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Third Party uses various means of physical and electronic security measures, including restricting physical access to our offices, as well as secure databases, to keep personal information secure.

While Third Party will take various procedures and precautions to keep your information in a secure environment, the internet is fundamentally not a secure environment. If you use the Internet to send us any information, including your email address, you agree to be solely responsible for the risk incurred by sending that information to us over the internet. Third Party's website may contain links to other websites. Third Party is not responsible for the privacy practices or the content of such sites.

## YOUR RIGHT TO ACCESS YOUR PERSONAL INFORMATION AT THIRD PARTY

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You have a right to access most personal information Third Party holds that is of and concerning you, as well as to make corrections to any mistakes or errors in that information. Please contact our management (see below) to ask for access to your information. You may also contact us if you have a complaint concerning your information privacy. Please be aware that Third Party may deny your request to access your private information in some circumstances, and that we will explain why we have restricted access. Any complaint of abuse of information privacy will be investigated by the firm's legal counsel and the outcome of that investigation communicated to you (please allow at least 30 days for us to do so). If you are not satisfied with the result of Third Party's investigation, you may contact the Office of the Australian Information Commissioner at [enquiries@oaic.gov.au](mailto:enquiries@oaic.gov.au) or on 1300 363 992.

## ENSURING ACCURACY OF INFORMATION

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If you think that any information we hold about you is inaccurate, please contact us at: [privacy@thirdparty.com](mailto:privacy@thirdparty.com) or +1-855-988-1788 and we will take reasonable steps to ensure that it is corrected.

## CONTACT US

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If you would like more information concerning how we handle your information, or our approach to privacy, please contact:

**Michael H. Giles**  
Chief Executive Officer  
[privacy@thirdparty.com](mailto:privacy@thirdparty.com)  
Tel: +1-855-988-1788

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