

Brooke and Associates Ltd – PRIVACY POLICY

Brooke and Associates Limited ('we') are committed to protecting and respecting your privacy.

This policy (together with our terms of business, appointment letters and any other documents referred to on it) describes why and how we collect and use personal data and provides information about individuals' rights. It applies to personal data provided to us, both by individuals themselves or by others on behalf of individuals. Please read the following carefully to understand our views and practices regarding your personal data and how we will treat it.

Important Information and Who We Are

1. For the purposes of Data Protection Legislation applicable in the UK including the Data Protection Act 1998, now superseded by the General Data Protection Regulation ((EU) 2016/679) 2018, we are responsible for your personal data. This privacy notice sets out most of your rights under the new law.
2. If you have any questions about this privacy notice, including any requests to exercise *your legal rights*, or wish to request details of personal information which we hold about you please contact us using the details set out below.
3. If you believe that any information we are holding on you is incorrect or incomplete, please write to us as soon as possible, using the details set out below. We will promptly correct any information found to be incorrect.
4. Our full details are Brooke and Associated Limited with; -
 - Email address: dkbrooke@brookeandassociates.co.uk
 - Postal address: As above
5. You have the right to make a complaint at any time to the Information Commissioner's Office (ICO), the UK supervisory authority for data protection issues (www.ico.org.uk). We would, however, appreciate the chance to deal with your concerns before you approach the ICO so please contact us in the first instance.

The Data We Collect About You

6. The data that is processed is dependent on the service that is being provided and on the recipient of this service.
 - **For Professional Services** – For services to businesses, non-profits, and other organisations, we process the personal data of individuals associated with our clients. Personal data may include any relevant financial or non-financial information necessary for us to provide our services. As an example, this may

include contact details, lists of shareholders, customers and suppliers and any other specifically relevant data. For services to individuals – we process personal data that may include contact details and tax identifiers, information about business activities, investments, and other financial interests, income, and any other specifically relevant data.

- **For Business Contacts-** Personal data may include but is not limited to name, email address, physical address, job title, and details of meetings.
 - **For Employees -** We collect personal data for our people as part of the administration, management and promotion of our business activities such as payroll data and employee information (including details about dismissal) including where an individual is applying to work for us, through the application process.
 - **For Suppliers -** We collect and process personal data about our suppliers, subcontractors, and the individuals associated with them. The data is held to manage our relationship, to contract and receive services from them, and in some cases to provide professional services to our clients. As an example, we will typically hold supplier's names, contacts names, and contact details of suppliers.
 - **For People who use our website -** The data that we hold depends on what data was entered and for what purpose. Where data was entered to engage with functionality of our website, that personal data may include their name, address, e-mail address and phone number, financial and credit card information, personal description and photographs. Where data is collected automatically, the data that we may collect includes technical information, including the Internet protocol (IP) address used to connect an individual's computer to the internet, login information, browser type and version, time zone setting, browser plug-in types and versions, operating system and platform; Other data about an individual's visit, including the full Uniform Resource Locators (URL) clickstream to, through and from our site (including date and time); products viewed or searched for; page response times, download errors, length of visits to certain pages, page interaction information (such as scrolling, clicks, and mouse-overs), and methods used to browse away from the page and any phone number used to call us.
7. We also may collect, use, store and transfer different kinds of personal data about you which we have grouped together follows:
- **Identity Data** includes first name, maiden name, last name, username or similar identifier, marital status, title, date of birth and gender.
 - **Contact Data** includes billing address, delivery address, email address and telephone numbers.
 - **Financial Data** includes bank account and payment card details.
 - **Transaction Data** includes details about payments to and from you and other details of products and services you have purchased from us.

- **Profile Data** includes purchases or orders made by you, your interests, preferences, feedback and survey responses.
 - **Usage Data** includes information about how you use our website, products and services.
 - **Demographic information** such as postcode, preferences and interests
 - **Other information** relevant to our business and/or offers.
 - **Marketing and Communications Data** includes your preferences in receiving marketing from us and your communication preferences.
8. We also collect, use and share **Aggregated Data** such as statistical or demographic data for any purpose. Aggregated Data may be derived from your personal data but is not considered personal data in law as this data does **not** directly or indirectly reveal your identity. However, if we combine or connect Aggregated Data with your personal data so that it can directly or indirectly identify you, we treat the combined data as personal data which will be used in accordance with this privacy notice.
9. We do not collect any **Special Categories of Personal Data** about you (this includes details about your race or ethnicity, religious or philosophical beliefs, sex life, sexual orientation, political opinions, trade union membership, information about your health and genetic and biometric data). Nor do we collect any information about criminal convictions and offences.
10. **If you fail to provide personal data** - Where we need to collect personal data by law, or under the terms of a contract we have with you and you fail to provide that data when requested, we may not be able to perform the contract we have or are trying to enter with you (for example, to provide you with services). In this case, we may have to cancel a service you have with us, but we will notify you if this is the case at the time.
11. **In Summary** - Personal data is any information relating to an identified or identifiable living person. We process personal data for numerous purposes, and the means of collection, lawful basis of processing, use, disclosure, and retention periods are set out in the relevant sections below. The personal data that is provided to us is provided either directly from the individual concerned, from a third party acting on behalf of an individual, or from publicly available sources (such as internet searches, and Companies House). Where we receive personal data from a third party that relates to an individual, we request that this third party inform the individual of the necessary information regarding the use of their data.

How Is Your Personal Data Collected?

12. We collect your personal data in the following ways; -

- **Information you give us directly** - You may give us information about you by filling in forms or by corresponding with us by phone, e-mail or otherwise. This includes information you provide when you appoint us. The information you give us may include Identity, Contact, Financial, Transaction and Profile Data.
- **Information we collect about you** - We collate technical data on you and your property that solely relates to the provision of our service to you.
- **Information we receive from other sources** - We may receive information about you. We may also work with third parties (including, for example, business partners, sub-contractors in technical, payment and delivery services, advertising networks, analytics providers, search information providers, credit reference agencies).

How We Use Your Personal Data

13. We will only use your personal data when the law allows us to. The exact data held will depend on the services to be provided. We request that clients only provide the personal data that is required for us to fulfil our contractual obligation.

14. Most commonly, we will use your personal data in the following circumstances:

- Where we need to perform the contract, we are about to enter or have entered with you.
- Where it is necessary for our legitimate interests (or those of a third party) and your interests and fundamental rights do not override those interests.
- Where we need to comply with a legal or regulatory obligation.
- Where we require this information to understand your needs and provide you with a better service, and for the following reasons:
 1. Internal record keeping
 2. Improve our products and services
 3. Periodically send promotional email about new products, special offers or other information which we think you may find interesting using the email address which you have provided
 4. From time to time, we may also use your information to contact you for market research purposes. We may contact you by email, phone or mail. We may use the information to customise our website.

Specifically; -

- **For Professional Services** - for several purposes, such as;
 - Providing services to clients. Data is processed to provide the service detailed in our letter of engagement and terms of business between

- our clients and us, and may sometimes be further clarified in written documentation supplied before any data processing may occur;
- Client management. When communicating with and assessing the needs of clients, personal data may be processed to ensure that their needs are appropriately satisfied. This may include assessing whether the right collection of services is being provided to our clients.
 - Administration. To manage and administer our business and services, we may collect and process personal data. This may include (but is not limited to) maintaining internal business records, managing client relationships, hosting events, administering client facing applications, and maintaining internal operating processes.
 - Regulatory. To undertake professional services, we may from time to time be required to collect and process personal data to fulfil regulatory, legal or ethical requirements. This may include the verification of identity of individuals. Additionally, we process your personal data (limited to your name and contact details as found through the Land Registry portal).
- **For Business Contacts** - for several purposes, such as;
 - Promotion and development of our offerings.
 - Communication of technical updates.
 - Hosting and facilitating of events.
 - Managing of our relationships.
 - Administration and management
 - **For Suppliers:** - for several reasons, such as;
 - Receiving goods and services. We process personal data in relation to our suppliers and their staff as necessary to receive the services.
 - Providing services to our clients. Where a supplier is helping us to deliver professional services to our clients, we process personal data about the individuals involved in providing the services to administer and manage our relationship with the supplier and the relevant individuals and to provide such services to our clients.
 - Administering, managing and developing our businesses and services. We process personal data to run our business, including:
 - managing our relationship with suppliers;
 - developing our businesses and services, such as identifying client needs and improvements in service delivery;
 - maintaining and using IT systems;
 - hosting or facilitating the hosting of events; and
 - administering and managing our website and systems and applications.
 - Security, quality and risk management activities. We have security measures in place to protect our and our clients' information

(including personal data), which involve detecting, investigating and resolving security threats. Personal data may be processed as part of the security monitoring that we undertake; for example, automated scans to identify harmful emails. We collect and hold personal data as part of our supplier contracting procedures. We monitor the services provided for quality purposes, which may involve processing personal data.

- Promoting our services. We may use business contact details to provide information that we think will be of interest about us and our services. For example, industry updates and insights, other services that may be relevant and invites to events.
- Complying with any requirement of law, regulation or a professional body of which we are a member. We are subject to legal, regulatory and professional obligations. We need to keep certain records to show we comply with those obligations and those records may contain personal data.

- **For People who use our website** - for several reasons, such as;

- Administration. In to administer our site and to improve internal operations, including troubleshooting, data analysis, testing, research, statistical and survey purposes. For example, we use this data to ensure that the website is presented well for individuals and is optimised appropriately.
- Functionality. To allow individuals to use some functionality of our website, certain personal data must be entered for features to work as intended.
- Security. To keep our site safe and secure, we may sometimes collect personal data, for instance login information and other data that can be used to vouch an individual's identity.
- Promotion and development of our offerings. Some personal data may be used to measure or understand the effectiveness of advertising we serve to individuals, and to ensure that only relevant advertising appears.

15. You may choose to restrict the collection or use of your personal information. If you have previously agreed to us using your personal information for direct marketing purposes, you may change your mind at any time by writing to or emailing us.

16. We will not sell, distribute or lease your personal information to third parties unless we have your permission or are required by law to do so.

17. We may use your personal information to send you promotional information which we think you may find interesting if you tell us that you wish this to happen.

18. **Marketing** - We strive to provide you with choices regarding certain personal data uses, particularly around marketing and advertising. We may use your Identity, Contact, Technical, Usage and Profile Data to form a view on what we think you may want or need, or what may be of interest to you, and/or for the marketing of our business. You will receive marketing communications from us if you have requested information from us or purchased services from us and you have not opted out of receiving that marketing. We will get your express opt-in consent before we share your personal data with any other company for marketing purposes. You can ask us or third parties to stop sending you marketing messages at any time by contacting us at any time. Where you opt out of receiving these marketing messages, this will not apply to personal data provided to us because of a service or other transaction that we have provided.
19. **Change of purpose** - We will only use your personal data for the purposes for which we collected it, unless we reasonably consider that we need to use it for another reason and that reason is compatible with the original purpose. If you wish to get an explanation as to how the processing for the new purpose is compatible with the original purpose, please contact us.
20. If we need to use your personal data for an unrelated purpose, we will notify you and we will explain the legal basis which allows us to do so.
21. Please note that we may process your personal data without your knowledge or consent, in compliance with the above rules, where this is required or permitted by law.
22. **How we share personal data** - We will only share personal data with others when we are legally permitted to do so. When we share data with others, we put contractual arrangements and security mechanisms in place to protect the data and to comply with our data protection, confidentiality and security standards.
23. Personal data held by us may be transferred to:
 - Third party organisations that provide applications/functionality, data processing or IT services to us. We use third parties to support us in providing our services and to help provide, run and manage our internal IT systems. For example, providers of information technology, cloud-based software as a service provider, identity management, website hosting and management, data analysis, data back-up, security and storage services.
 - Third party organisations that otherwise assist us in providing goods, services or information.
 - Other professional advisers.
 - Law enforcement or regulatory agencies or those required by law or regulations.

24. Occasionally, we may receive requests from third parties with authority to obtain disclosure of personal data, such as to check that we are complying with applicable law and regulation, to investigate an alleged crime or to establish, exercise or defend legal rights. We will only fulfil requests for personal data where we are permitted to do so in accordance with applicable law or regulation. **When we do have to share your personal data** with external third parties to undertake our service to you, we require all third parties to respect the security of your personal data and to treat it in accordance with the law. We do not allow our third-party service providers to use your personal data for their own purposes and only permit them to process your personal data for specified purposes and in accordance with our instructions.

25. We may disclose your personal information to Third Parties:

- If we sell or buy any business or assets, in which case we may disclose your personal data to the prospective seller or buyer of such business or assets.
- If Brooke and Associates Limited or substantially all its assets are acquired by a third party, in which case personal data held by us about you will be one of the transferred assets.
- If we are under a duty to disclose or share your personal data to comply with any legal obligation, or to enforce or apply our terms and conditions of service and other agreements; or to protect the rights, property, or safety of Brooke and Associates Limited, our customers, or others. This includes exchanging information with other companies and organisations for the purposes of fraud protection and credit risk reduction.

Third parties also include those to whom we may choose to sell, transfer, or merge parts of our business or our assets. Alternatively, we may seek to acquire other businesses or merge with them. If a change happens to our business, then the new owners may use your personal data in the same way as set out in this privacy notice

26. Our web-site; -

- may contain links to other websites of interest. However, once you have used these links to leave our site, you should note that we do not have any control over that other website. Therefore, we cannot be responsible for the protection and privacy of any information which you provide whilst visiting such sites and such sites are not governed by this privacy statement. When you leave our website, we encourage you to read the privacy notice of every website you visit.
- When people visit our website, personal data is collected both through automated tracking and interactions with various forms on the website or apps (collectively referred to as the websites).

- Personal data may also be collected when individuals correspond with us by phone, e-mail or otherwise. This includes information provided when individual registers to use our websites, subscribes to our services, makes an enquiry, comments on publications, enters a competition, promotion or survey, applies to work for us or reports a problem with our website.
 - When individuals visit our website, certain personal data may be automatically collected. We work closely with third parties who may collect data on our behalf (including, for example, business partners, sub-contractors in technical, payment and delivery services, advertising networks, analytics providers, search information providers, credit reference agencies).
 - Often, individuals who visit our website additionally fall into another category as listed by this privacy statement. For instance, users of our websites may be current clients, business contacts or become clients in the future. Where this is the case, data held and processed for individuals who use our website may also become data that is held and processed for another purpose.
27. **Where we store your personal data** – We take the security of all the data we hold seriously. Staff are trained on data protection, confidentiality and security, and we maintain a culture of confidentiality.
28. All information you provide to us is stored on our secure servers which is backed up every day or held in secure electronic files electronically which can be accessed only by our employees whose electronic devices are password protected. Paper records are held in a locked cabinet or in secure archive storage.
29. Where we have given you (or where you have chosen) a password which enables you to access certain parts of our site, you are responsible for keeping this password confidential. We ask that you do not share your password with anyone.
30. Unfortunately, the transmission of information via the internet is not completely secure. Although we will do our best to protect your personal data, we cannot guarantee the security of your data transmitted to our site; any transmission is at your own risk. Once we have received your information, we will use our procedures and security features to try to prevent unauthorised access.
31. Where possible, personal data resides within the UK territory but may be transferred to, and stored at, a destination outside the European Economic Area (EEA). It may also be processed by staff operating outside the EEA who work for us or for one of our suppliers. We will take all reasonable steps to ensure that your data is treated securely, in accordance with this privacy statement.

32. We have taken steps to ensure all personal data is provided with adequate protection and that all transfers of personal data outside the EEA are done lawfully. Where we transfer personal data outside of the EEA to a country not determined by the European Commission as providing an adequate level of protection for personal data, the transfers will be under an agreement which covers the EU requirements for the transfer of personal data outside the EU.
33. **How we delete your personal data** - Personal data is permanently deleted in accordance with the retention periods listed below from our:
- Software system
 - Electronic files
 - Emails
 - Paper records, which are securely shredded.

Data Security

34. We are committed to ensuring that your information is secure. To prevent unauthorised access or disclosure we have put in place suitable physical, electronic and managerial procedures to safeguard and secure the information we collect.
35. We have put in place appropriate security measures to prevent your personal data from being accidentally lost, used or accessed in an unauthorised way, altered or disclosed. In addition, we limit access to your personal data to those employees, agents, contractors and other third parties who have a business need to know. They will only process your personal data on our instructions and they are subject to a duty of confidentiality.
36. We have put in place procedures to deal with any suspected personal data breach and will notify you and any applicable regulator of a breach where we are legally required to do so. Our procedure is set out below.

Data Retention

37. **How long will you use my personal data for –**
- **For Professional Services, Business Contacts, Suppliers, and People who use our Website** - For 6 years as required by law and/ or regulation. We may keep data for longer to establish, exercise, or defend our legal rights and the legal rights of our clients.
 - **For Employees** - For as long as necessary to fulfil the purpose for which it was collected, or for a maximum of two years where those purposes no longer become necessary.

38. Please note though that personal data will be securely archived with restricted access and other appropriate safeguards where there is a need to continue to retain it.
39. In some circumstances you can ask us to delete your data: see below.
40. In some circumstances we may anonymise your personal data (so that it can no longer be associated with you) for research, marketing or statistical purposes in which case we may use this information indefinitely without further notice to you.
41. **Your Access to Personal Information, Correction and Deletion** - Our responses to your requests will be made within 30 days, and all personal data will be compiled into a report and collected from:
 - Software system
 - Financial transactions
 - Emails
 - Other electronic records
 - Paper records (where applicable)

Procedure for Personal Data Breach

42. We hope that you won't ever need to, but if you do want to complain about our use of personal data, please send an email with the details of your complaint with information so that we can fully comply with our procedure as set out below to our managing director, Danielle Brooke who will review and respond.
43. You also have the right to lodge a complaint with the UK data protection regulator, the Information Commissioner's Office ("ICO"). For further information on your rights and how to complain to the ICO, please refer to the ICO website <https://ico.org.uk/concerns>, or call 0303 123 1113. Open Monday to Friday between 9am and 5pm, closed after 1pm on Wednesdays for staff training. We would, however, appreciate the chance to deal with your concerns before you approach the ICO so please contact us in the first instance.
44. We have a procedure for such a breach and our separate procedure policy is available on request. It covers:
 - What is a personal data breach?
 - What must be recorded?
 - Assessing the likelihood and severity of the adverse consequences of the breach
 - When do breaches have to be reported to the ICO?
 - What must be reported to the ICO?

- How to report a breach to the ICO
- Telling individuals affected about a breach

Your Legal Rights

45. Under certain circumstances, you have rights under data protection laws in relation to your personal data. As such you have the right to:

- **Request access** to your personal data (commonly known as a "data subject access request"). This enables you to receive a copy of the personal data we hold about you and to check that we are lawfully processing it.
- **Request correction** of the personal data that we hold about you. This enables you to have any incomplete or inaccurate data we hold about you corrected, though we may need to verify the accuracy of the new data you provide to us.
- **Request erasure** of your personal data. This enables you to ask us to delete or remove personal data where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal data where you have successfully exercised your right to object to processing (see below), where we may have processed your information unlawfully or where we are required to erase your personal data to comply with local law. Note, however, that we may not always be able to comply with your request of erasure for specific legal reasons which will be notified to you, if applicable, at the time of your request.
- **Object to processing** of your personal data where we are relying on a legitimate interest (or those of a third party) and there is something about your situation which makes you want to object to processing on this ground as you feel it impacts on your fundamental rights and freedoms. You also have the right to object where we are processing your personal data for direct marketing purposes. In some cases, we may demonstrate that we have compelling legitimate grounds to process your information which override your rights and freedoms.
- **Request restriction of processing** of your personal data. This enables you to ask us to suspend the processing of your personal data in the following scenarios: (a) if you want us to establish the data's accuracy; (b) where our use of the data is unlawful but you do not want us to erase it; (c) where you need us to hold the data even if we no longer require it as you need it to establish, exercise or defend legal claims; or (d) you have objected to our use of your data but we need to verify whether we have overriding legitimate grounds to use it.
- **Request the transfer** of your personal data to you or to a third party. We will provide to you, or a third party you have chosen, your personal data in a structured, commonly used, machine-readable format. Note that this right

only applies to automated information which you initially provided consent for us to use or where we used the information to perform a contract with you.

- **Withdraw consent at any time** where we are relying on consent to process your personal data. However, this will not affect the lawfulness of any processing carried out before you withdraw your consent. If you withdraw your consent, we may not be able to provide certain products or services to you. We will advise you if this is the case at the time you withdraw your consent.
46. **No fee usually required** - You will not have to pay a fee to access your personal data (or to exercise any of the other rights). However, we may charge a reasonable fee if your request is clearly unfounded, repetitive or excessive. Alternatively, we may refuse to comply with your request in these circumstances.
47. **What we may need from you** - We may need to request specific information from you to help us confirm your identity and ensure your right to access your personal data (or to exercise any of your other rights). This is a security measure to ensure that personal data is not disclosed to any person who has no right to receive it. We may also contact you to ask you for further information in relation to your request to speed up our response.
48. **Time limit to respond** - We try to respond to all legitimate requests within one month. Occasionally it may take us longer than a month if your request is particularly complex or you have made several requests. In this case, we will notify you and keep you updated.

Glossary of Terms.

- **Personal data or personal information** means any information about an individual from which that person can be identified. It does not include data where the identity has been removed (anonymous data) e.g. name and job title
- **Legitimate Interest** means the interest of our business in conducting and managing our business to enable us to give you the best service and the best and most secure experience. We make sure we consider and balance any potential impact on you (both positive and negative) and your rights before we process your personal data for our legitimate interests. We do not use your personal data for activities where our interests are overridden by the impact on you (unless we have your consent or are otherwise required or permitted to by law). You can obtain further information about how we assess

our legitimate interests against any potential impact on you in respect of specific activities by contacting us

- **Performance of Contract** means processing your data where it is necessary for the performance of a contract to which you are a party or to take steps at your request before entering into such a contract.
- **Comply with a legal or regulatory obligation** means processing your personal data where it is necessary for compliance with a legal or regulatory obligation that we are subject to.
- **External Third Parties**
 - Business partners, suppliers and sub-contractors for the performance of any contract we enter with you.
 - Service providers acting as processors based in the UK who provide IT and system administration services.
 - Professional advisers like lawyers, bankers, auditors and insurers based in the UK who provide consultancy, banking, legal, insurance and accounting services.
 - HM Revenue & Customs, regulators and other authorities acting as processors or joint controllers based in the United Kingdom who require reporting of processing activities in certain circumstances.