

DC DWEK CORPORATE FINANCE LIMITED
PRIVACY NOTICE

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1. **Introduction**

2. DC Dwek Corporate Finance Limited respects your privacy and is committed to protecting your personal data. This Privacy Notice will inform you as to how we look after your personal data when you visit our website (regardless of where you visit it from) and tell you about your privacy rights and how the law protects you.

3. This Privacy Notice is provided in a layered format so you can click through to the specific areas set out below. Alternatively you can download a pdf version of the policy here [\[LINK\]](#). Please also use the Glossary (add [LINK](#)) to understand the meaning of some of the terms used in this Privacy Notice.

4. **1. [IMPORTANT INFORMATION AND WHO WE ARE]**

5. **2. [THE DATA WE COLLECT ABOUT YOU]**

6. **3. [HOW IS YOUR PERSONAL DATA COLLECTED]**

7. **4. [HOW WE USE YOUR PERSONAL DATA]**

8. **5. [DISCLOSURES OF YOUR PERSONAL DATA]**

9. **6. [INTERNATIONAL TRANSFERS]**

10. **7. [DATA SECURITY]**

11. **8. [DATA RETENTION]**

12. **9. [YOUR LEGAL RIGHTS]**

13. **10. [GLOSSARY]**

14. **Important information and who we are**

15. **Purpose of this Privacy Notice**

16. This Privacy Notice aims to give you information on how DC Dwek Corporate Finance Limited collects and processes your personal data, including any data you may provide through this website when you communicate with us via this website or sign up to our newsletter.

17. It is important that you read this Privacy Notice together with any other privacy notice or fair processing notice we may provide on specific occasions when we are collecting or processing personal data about you so that you are fully aware of how and why we are using your data. This Privacy Notice supplements the other notices and is not intended to override them.

18. **Data Controller**

19. DC Dwek Corporate Finance Limited (referred to as "the Company", "we", "us" or "our" in this Privacy Notice) is the data controller and responsible for your personal data which we collect or process.

20. David Dwek, the Company's Managing Director, is responsible for overseeing questions in relation to this Privacy Notice. If you have any questions about this Privacy Notice, including any requests to exercise *your legal rights*, please contact him using the details set out below.
21. **Contact details**
22. Our full details are:
23. Full name of legal entity: DC Dwek Corporate Finance Limited
24. Name or title of executive responsible for data privacy: David Dwek
25. Email address: david@dcdwek.com
26. Postal address: 162-168 Regent Street, London W1B 5TE
27. Telephone number: +44 (0) 20 7287 7841
28. Mobile number: +44 (0) 7768 177328
29. You have the right to make a complaint at any time to the Information Commissioner's Office (the 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.
30. **Changes to the Privacy Notice and your duty to inform us of changes to your personal data**
31. This version was issued on 1 June 2018.
32. It is important that the personal data we hold about you is accurate and current. Please keep us informed if your personal data changes during your relationship with us.
33. **Third-party links**
34. This website may include links to third-party websites, plug-ins and applications. Clicking on those links or enabling those connections may allow third parties to collect or share data about you. We do not control these third-party websites and are not responsible for their privacy statements. When you leave our website, we encourage you to read the privacy notice of every website you visit.
- 35.
36. **The data we collect about you**
37. **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).
38. We 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, marital status, title, date of birth and gender.
 - **Contact Data** includes email address and telephone numbers.
 - **Financial Data** includes bank account details.

- **Transaction Data** includes details about payments to and from you and other details of services we have provided or agree to provide to you.
- **Technical Data** includes your internet protocol (IP) address, browser type and version, time zone setting and location, browser plug-in types and versions, operating system and platform and other technology on the devices you use to access this website.
- **Usage Data** includes information about how you use our website.
- **Marketing and Communications Data** includes your preferences in receiving marketing from us and our third parties and your communication preferences.

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. For example, we may aggregate your Usage Data to calculate the percentage of users accessing a specific website feature. 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.

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.

39. **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 into with you (for example, to provide you with services). In this case, we may have to cancel a service you have asked us to provide to you but we will notify you if this is the case at the time.

40. **How is your personal data collected?**

41. We use different methods to collect data from and about you including through:

- **Direct interactions.** You may give us your Identity and Contact Data by filling in forms or by corresponding with us by post, phone, e-mail or otherwise. This includes personal data you provide when you :
 - inform us of the services which you may wish us to provide to you or to a company or organisation on whose behalf you contact us;
 - provide us with evidence of your identity as a result of our conducting anti-money laundering procedures;
 - subscribe to our service or publications;
 - request marketing to be sent to you;
 - give us some feedback.

In order to comply with our obligations to the Financial Conduct Authority all our telephone conversations are recorded.

- **Automated technologies or interactions.** As you interact with our website, we may automatically collect Technical Data about your equipment, browsing actions and patterns. We

collect this personal data by using cookies, server logs and other similar technologies. Please see our cookie policy [\[LINK\]](#) for further details.

- **Third parties or publicly available sources.** We may receive personal data about you from various third parties and public sources as set out below:
 - Technical Data from analytics providers such as Google based outside the EU;
 - Contact, Financial and Transaction Data from providers of technical, payment and delivery services based [inside or outside] the EU].
 - Identity and Contact Data from publicly available sources [such as Companies House and the Electoral Register based inside the EU.
 - The company or organisation on whose behalf you contact us and /or its or your other advisers

42. How we use your personal data

43. We will only use your personal data when the law allows us to do so. Most commonly, we will use your personal data in the following circumstances:

- 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 perform a contract, we are about to enter into or have entered into with you.
- Where we need to comply with a legal or regulatory obligation.

44. . You have the right to withdraw consent to marketing at any time by contacting *us*.

45. Purposes for which we will use your personal data

46. We have set out below, in a table format, a description of all the ways we plan to use your personal data, and which of the legal bases we rely on to do so. We have also identified what our legitimate interests are where appropriate.

47. Note that we may process your personal data for more than one lawful ground depending on the specific purpose for which we are using your data. Please contact us if you need details about the specific legal ground on which we are relying to process your personal data where more than one ground has been set out in the table below.

Purpose/Activity	Type of data	Lawful basis for processing including basis of legitimate interest
To register you as a new client	(a) Identity (b) Contact	Performance of a contract with you
To register a company or other organisation of which you are an employee, officer, partner, member or agent and contact person as a new client	(a) Identity (b) Contact	Necessary for our legitimate interests (to enter into and/or perform a contract with such a company or organisation)
To register a company or other organisation of which you are an employee, officer, partner, member or agent and contact person as a new contact	(a) Identity (b) Contact (c) Financial (d) Transaction	Necessary for our legitimate interests (to facilitate communications with any such company or organisation which is an actual or potential investor, professional adviser, financial institution, trade purchaser or joint

	(e) Marketing and Communications	venturer of one of our clients or for networking purposes)
To register you as a contact	(a) Identity (b) Contact (c) Financial (d) Transaction (e) Marketing and Communications	Necessary for our legitimate interests (for networking purposes)
To process and perform our contract with you including: (a) Manage payments, fees and charges (b) Collect and recover money owed to us	(a) Identity (b) Contact (c) Financial (d) Transaction (e) Marketing and Communications	(a) Performance of a contract with you (b) Necessary for our legitimate interests (to recover debts due to us)
To process and perform our contract with a company or other organisation of which you are an employee, officer, partner, member or agent and contact person including: (a) Manage payments, fees and charges (b) Collect and recover money owed to us	(a) Identity (b) Contact (c) Financial (d) Transaction (e) Marketing and Communications	(a) Necessary for our legitimate interests (to perform a contract with a company or other organisation of which you are an employee, officer, partner, member or agent and contact person) (b) Necessary for our legitimate interests (to recover debts due to us)
To manage our relationship with you which will include: (a) Notifying you about changes to our terms or Privacy Notice (b) Asking you to take a survey	(a) Identity (b) Contact (c) Profile (d) Marketing and Communications	(a) Performance of a contract with you (b) Necessary to comply with a legal or regulatory obligation (c) Necessary for our legitimate interests (to keep our records updated and to study how clients and contacts use our services)
To manage our relationship with a company or other organisation of which you are an employee, officer, partner, member or agent and contact person which will include: (a) Notifying you about changes to our terms or Privacy Notice (b) Asking you to take a survey	(a) Identity (b) Contact (c) Profile (d) Marketing and Communications	(a) Necessary to comply with a legal or regulatory obligation (b) Necessary for our legitimate interests (to perform a contract with a company or other organisation of which you are an employee, officer, partner, member or agent and contact person) (c) Necessary for our legitimate interests (to keep our records

		updated and to study how clients and contacts use our services)
To enable you to complete a survey	(a) Identity (b) Contact (c) Profile (d) Usage (e) Marketing and Communications	(a) Performance of a contract with you (b) Necessary for our legitimate interests (to perform a contract with a company or other organisation of which you are an employee, officer, partner, member or agent and contact person) (c) Necessary for our legitimate interests (to study how clients and contacts use our services, to develop them and grow our business)
To administer and protect our business and this website (including troubleshooting, data analysis, testing, system maintenance, support, reporting and hosting of data)	(a) Identity (b) Contact (c) Technical	(a) Necessary for our legitimate interests (for running our business, provision of administration and IT services, network security, to prevent fraud and in the context of a business reorganisation or group restructuring exercise) (b) Necessary to comply with a legal or regulatory obligation
To deliver relevant website content and other information to you and measure or understand the effectiveness of the advertising we serve to you	(a) Identity (b) Contact (c) Profile (d) Usage (e) Marketing and Communications (f) Technical	Necessary for our legitimate interests (to study how clients and contacts use our services, to develop them, to grow our business and to inform our marketing strategy)
To use data analytics to improve our website, products/services, marketing, client relationships and experiences	(a) Technical (b) Usage	Necessary for our legitimate interests (to define types of clients for our products and services, to keep our website updated and relevant, to develop our business and to inform our marketing strategy)
To provide information to the Financial Conduct Authority or any other regulatory authority having jurisdiction over us if, in exercise of their legal or regulatory powers, they require us to do so	(a) Identity (b) Contact (c) Financial (d) Transaction (e) Profile (f) Usage	Necessary to comply with a legal or regulatory obligation

48. **Marketing**

49. We strive to provide you with choices regarding certain personal data uses, particularly around marketing and advertising:-

50. **Promotional offers from us**

51. 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. This is how we decide which services may be relevant for you (we call this marketing).

52. You will receive marketing communications from us if you have requested information from us or purchased services from us and, in each case, you have not opted out of receiving that marketing.

53. **Third-party marketing**

We will get your express opt-in consent before we share your personal data with any company other than ourselves for marketing purposes.

54. **Opting out**

55. You can ask us or third parties to stop sending you marketing messages at any time by logging into the website and sending us a message to that effect via our website or by following the opt-out links on any marketing message sent to you or by contacting us by e-mail or letter at any time.

56. Where you opt out of receiving these marketing messages, this will not apply to personal data provided to us as a result of your obtaining services from us.

57. **Cookies**

58. You can set your browser to refuse all or some browser cookies, or to alert you when websites set or access cookies. If you disable or refuse cookies, please note that some parts of this website may become inaccessible or not function properly. For more information about the cookies we use, please see [LINK TO [COOKIE POLICY](#).]

59. **Change of purpose**

60. 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.

61. 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.

62. 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.

63. **Disclosures of your personal data**

64. We may have to share your personal data with the parties set out below for the purposes set out in the table in paragraph 4 above.

- External Third Parties as set out in the [LINK to [Glossary](#)].

- The Financial Conduct Authority and any other regulatory authority having jurisdiction over us if, in exercise of their legal or regulatory powers, they require us to do so
 - Third parties 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.
65. 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.
66. **International transfers**
67. We do not transfer your personal data outside the European Economic Area (**EEA**) without your express prior consent.
68. Whenever we transfer your personal data out of the EEA, we ensure a similar degree of protection is afforded to it by ensuring at least one of the following safeguards is implemented :
- We will only transfer your personal data to countries that have been deemed to provide an adequate level of protection for personal data by the European Commission. For further details, see European Commission: Adequacy of the protection of personal data in non-EU countries.
 - Where we use certain service providers, we may use specific contracts approved by the European Commission which give personal data the same protection it has in Europe. For further details, see European Commission: Model contracts for the transfer of personal data to third countries.
 - Where we use providers based in the US, we may transfer data to them if they are part of the Privacy Shield which requires them to provide similar protection to personal data shared between the Europe and the US. For further details, see European Commission: EU-US Privacy Shield.
69. Please contact us if you want further information on the specific mechanism used by us when transferring your personal data out of the EEA.
70. **Data security**
71. 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.
72. 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.
73. **Data retention**
74. **How long will you use my personal data for?**
75. We will only retain your personal data for as long as necessary to fulfil the purposes we collected it for, including for the purposes of satisfying any legal, accounting, or reporting requirements.
76. To determine the appropriate retention period for personal data, we consider the amount, nature, and sensitivity of the personal data, the potential risk of harm from unauthorised use or disclosure of

your personal data, the purposes for which we process your personal data and whether we can achieve those purposes through other means, and the applicable legal requirements.

77. Details of retention periods for different aspects of your personal data are available in our retention policy which you can request from us by contacting us.
78. By law we have to keep basic information about our clients (including Contact, Identity, Financial and Transaction Data) for six years after they cease being clients for tax purposes. In some circumstances you can ask us to delete your data: See *Request erasure* below for further information.
79. In some circumstances we may anonymise your personal data (so that it can no longer be associated with you) for research or statistical purposes in which case we may use this information indefinitely without further notice to you.
80. **Your legal rights**
81. Under certain circumstances, you have rights under data protection laws in relation to your personal data. Please go to paragraph 11 or click on the links below to find out more about these rights:
 - *Request access to your personal data*
 - *Request correction of your personal data.*
 - *Request erasure of your personal data.*
 - *Object to processing of your personal data.*
 - *Request restriction of processing your personal data.*
 - *Request transfer of your personal data.*
 - *Right to withdraw consent.*

82. If you wish to exercise any of the rights set out above, please contact us.
83. **No fee usually required**
84. 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.
85. **What we may need from you**
86. 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.
87. **Time limit to respond**
88. 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 a number of requests. In this case, we will notify you and keep you updated.
89. **Glossary**
90. **LAWFUL BASIS**
91. **Legitimate Interest** means the interest of our business in conducting and managing our business to enable us to give you the best service/product 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
92. **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.
93. **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.
94. **THIRD PARTIES**
95. **External Third Parties**
- Service providers acting as processors who provide IT and system administration services.
 - Professional advisers acting as processors or joint controllers including lawyers, bankers, auditors and insurers based in the United Kingdom and other countries who provide consultancy, banking, legal, insurance and accounting services.
 - HM Revenue & Customs, the Financial Conduct Authority, other regulators and other authorities acting as processors or joint controllers based in the United Kingdom who require reporting of processing activities in certain circumstances.

96. **YOUR LEGAL RIGHTS (CONTINUED)**

97. You have the right to:

- 97.1 **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.
- 97.2 **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.
- 97.3 **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.
- 97.4 **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 particular 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.
- 97.5 **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.
- 97.6 **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.
- 97.7 **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.