



## **Rootes Wealth Management Limited Data Protection Policy**

### **Our contact details**

Postal address: Rootes Wealth Management Limited, Riverside House, Tonbridge TN9 1EP

Phone Number: 01732 247 360

E-mail: [contact@rootes.co.uk](mailto:contact@rootes.co.uk)

To help provide you with accurate, personalised financial advice, we need to understand you and your individual goals/needs. To do this, we will need to collect a range of personal and sensitive data. This document sets out our policy to handling your data. On asking us to work for you, we will ask for your consent to store and use your data.

The data controller of your personal information is Rootes Wealth Management Limited who is registered in England and Wales. Registered number: 14159023. Registered Office: 10 Upper Grosvenor Road, Tunbridge Wells, England, TN1 2EP.

### **Examples of the type of personal information we collect.**

We currently collect and process the following types of information:

- Personal identifiers, contact details and personal characteristics.
- Employment and financial details including bank statements and credit history.

- Identification Documents – such as passport/driving licence.
- Plan information from your existing providers after you have given us authority to contact them.
- Family details, including those that may be dependent on you (e.g. children).
- Health status and medical history.

### **Examples of why we need these?**

For a mortgage - to establish that you are eligible and can afford the contract.

For protection (insurance policies) – you or your family's medical history may have an impact on the cost of the cover.

For savings/investments/pensions – your expenditure and likely future outgoings can affect our recommendations.

### **Identification verification.**

When you instruct us to provide a service for you, we will attempt to verify your identity using documents you have provided with an electronic verification method. This may leave a 'soft search' on your credit record but should not affect your ability to borrow money.

This is to guard against fraud and money laundering.

### **How we receive your personal information**

Most of the personal information we process is provided to us directly by you through conversation, correspondence or completing a form. We also record our calls as an accurate record of what has been said by both you and us.

We also receive information directly from financial providers if we hold your authority to deal directly with them.

### **How we use your personal information.**

We use the information that you have given us to maintain a personal & professional relationship with you to provide you with financial advice and to obtain quotations and apply for products directly with providers.

### **When may we share your data?**

When necessary, we will share this information with select organisations. Examples of this would be, our compliance partners, professional service providers, regulatory authorities, and legal authorities.

### **Lawful basis for collecting data.**

Under the UK General Data Protection Regulation (UK GDPR), the lawful bases we rely on for processing this information are:

- Legal obligation – to comply with regulation.
- Contractual obligation – for example, you have agreed to an ongoing service.
- Your consent. You are able to remove your consent at any time. You can do this by contacting us.

### **How we store your personal information.**

Your information is securely stored, either electronically or on paper. Access is restricted on a need-to-know basis.

We expect you to take reasonable steps to secure your data when you transfer information to us (for example password protecting documents).

Your Personal Data will be retained by us either electronically or in paper format for a minimum of six years after our relationship ends. In some cases, we have a regulatory responsibility to retain information indefinitely.

When information is to be removed, we will either delete or anonymise it.

### **Your data protection rights.**

Under data protection law, you have rights including:

**Your right of access** - You have the right to ask us for copies of your personal information.

**Your right to rectification** - You have the right to ask us to rectify personal information you think is inaccurate. You also have the right to ask us to complete information you think is incomplete.

**Your right to erasure** - You have the right to ask us to erase your personal information in certain circumstances.

**Your right to restriction of processing** - You have the right to ask us to restrict the processing of your personal information in certain circumstances.

**Your right to object to processing** - You have the the right to object to the processing of your personal information in certain circumstances.

**Your right to data portability** - You have the right to ask that we transfer the personal information you gave us to another organisation, or to you, in certain circumstances.

You are not required to pay any charge for exercising your rights. If you make a request, we have one month to respond to you.

Please contact us if you wish to make a request.

## How to complain

If you have any concerns about our use of your personal information, you can make a complaint to us.

You can also complain to the Information Commissioner's Office ('ICO') if you are unhappy with how we have used your data.

The ICO's address:

Information Commissioner's Office

Wycliffe House

Water Lane

Wilmslow

Cheshire

SK9 5AF

Helpline number: 0303 123 1113

ICO website: <https://www.ico.org.uk>

## Marketing Permission Request

We would like to contact you from time to time with details of new products, services, promotions, and other information which may be of interest to you. Please tick the relevant boxes below if you would like to receive this information from us:

by email

by post

by text message

by telephone

You can subsequently opt out of marketing at any stage.

## Consent to process your personal information

I have read the policy above and consent to Rootes Wealth Management Limited processing my personal data in line with this policy.

Name: \_\_\_\_\_

Signed: \_\_\_\_\_

Date: \_\_\_\_\_