

1. INTRODUCTION

We take your privacy and the protection of your personal data seriously.

In the course of our business and the provision of our services, we may need to collect and use "**personal data**" about you, this is any information that relates directly or indirectly to you. This privacy policy therefore sets out how we will obtain and use your personal data when conducting our business.

Although this website only looks to include quality, safe and relevant external links, you should adopt a policy of caution before clicking any external web links mentioned throughout this website. (External links are clickable text / banner / image links to other websites, similar to; www.fca.org.uk or FCA)

We are not responsible for any third parties linked to or referred to on this website; we cannot guarantee or verify the contents of any externally linked website. Therefore please click on external links at your own risk when using this website.

2. ABOUT US

Mayfair Capital Limited ("**we**", "**us**" and "**our**") is a private limited company registered in the United Kingdom at 3 Queen Street, Mayfair, London, W1J 5PA and is regulated by the Financial Conduct Authority ("**FCA**") under registration no 766642.

We are a brokerage firm offering investment management for retail corporate clients. In order for us to provide these services, we will need to use personal data and when doing so, we will be acting as a "**controller**"; this means that we are responsible for gathering, using, storing and sharing your personal data. If you have any questions, please contact us using the contact details in section 10.

3. WHAT PERSONAL DATA WE COLLECT AND HOW AND WHY WE USE YOUR PERSONAL DATA

The personal data that we obtain and use will depend on your relationship with us. Please refer to the relevant heading below (which correlates to your relationship with us) for more information about how we use your personal data.

3.1 Existing and prospective clients

This section provides information about the personal data about you that we obtain and use if you are an existing or prospective client of Mayfair Capital Limited.

(a) What personal data do we collect and use?

- (i) **Identity Details** includes name, title, gender and date of birth.
- (ii) **Contact Details** includes telephone numbers, email addresses (personal or work), and contact address.
- (iii) **Business/professional Details** includes industry, job role.
- (iv) **Investor/Financial Information** such as your attitudes to risk, your financial circumstances and any other information which is relevant to making an investment or information obtained during the KYC process.
- (v) **Technical Data** which is any information obtained from cookies such as IP addresses. Please see our cookies policy at <https://www.mayfair-capital.co.uk/cookie-policy> for more information.

- (vi) **Correspondence** which includes any correspondence with us or data obtained through emails, meetings or telephone calls.
- (vii) **Marketing Data** includes your marketing preferences in relation to receiving marketing communications from us and (if relevant) third parties.

We do not collect any of your special category data; this is any information relating to your health or medical records, genetic or biometric data, criminal convictions, sex life, sexual orientation, racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership) or criminal convictions data.

(b) How do we collect your personal data?

We may collect your personal data:

- (i) directly from you
- (ii) via our website
- (iii) via third parties such as Experian or Compliance Assist
- (iv) during any form of communications or correspondence with us
- (v) from third parties who might introduce or refer clients to us or who provide us with details of prospective clients. Please note that where we have received your personal data from a third party, we ensure that any applicable relevant and applicable consents have been sought and granted;
- (vi) via publicly available sources such as internet search engines or companies house
- (vii) via cookies on our website
- (viii) from our regulators the FCA
- (ix) from professional advisors including external legal advisors.

(c) For what purpose do we use your personal data and who do we share it with?

We process your personal data for a number of different purposes and under data protection laws, we must have a "lawful basis" to do so. We rely on the following 'lawful bases' when processing your personal data:

- (i) we need to use your personal data to enter into or perform our agreement with you, for example, in order to fulfil our obligations to you as a client;
- (ii) we or a third party have a legitimate business interest to use your personal data and your interests and fundamental rights do not override those interests. In all such circumstances, we will always consider your rights to privacy and carry out a balancing exercise to ensure that our legitimate business interest does not cause you harm or override your own right to privacy;
- (iii) we need to process your data for compliance with our legal or regulatory obligations as a regulated FCA entity; or
- (iv) we have your consent.

Please see below for further details of the different ways we use your personal data, the lawful bases we rely on when doing so and details of whom we may share your personal data with

| Purpose for processing your personal data | Legal basis for processing your personal data | With whom do we share your personal data |
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| To discuss new client onboarding | <ul style="list-style-type: none"> We need to use your personal data to take steps to enter into an agreement with you | <ul style="list-style-type: none"> Service providers and agents (including their subcontractors) such as IT suppliers, finance document management providers and software and platform providers Third party compliance entity Professional third parties such as lawyers and auditors Our regulator the FCA Selected third parties in connection with the sale, transfer or disposal of our business |
| Client relationship activities such as administration and management; billing; conflict and KYC; undertaking money laundering, financial and credit checks and for fraud and crime prevention and detection purposes; general correspondence and support queries and to resolve any complaints you may have | <ul style="list-style-type: none"> We need to use your personal data to perform the agreement we have with you For our legitimate business interests (to correspond with our clients we need to use your personal data for our legitimate business interests (to send you communications and updates and invoices and ensure that complaints are handled appropriately) We have a legal obligation | <ul style="list-style-type: none"> Service providers and agents (including their subcontractors) such as IT suppliers, finance document management providers and software and platform providers Third party compliance entity Experian or Compliance Assist Professional third parties such as lawyers and auditors Any third party in order to meet our legal and regulatory obligations, including statutory or regulatory reporting, or the detection or prevention of unlawful acts. Government departments where reporting is |

| Purpose for processing your personal data | Legal basis for processing your personal data | With whom do we share your personal data |
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| | | mandatory under applicable law. <ul style="list-style-type: none"> • Police or law enforcement agencies • Our regulator the FCA • Selected third parties in connection with the sale, transfer or disposal of our business |
| To improve the quality of our services and website and carry out software/security and service compatibility and improvements | We have a legitimate business interest (to determine our customer base, to improve our products and services and to develop our business) | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, finance document management providers and software and platform providers • Third party compliance entity • Professional third parties such as lawyers and auditors • Our regulator the FCA • Selected third parties in connection with the sale, transfer or disposal of our business |
| To administer and protect our business and keep our products working, safe and secure (by troubleshooting, data analysis, testing, system maintenance and monitoring and addressing other security/technical issues). | <ul style="list-style-type: none"> • We have a legitimate business interest (to take all necessary measures to protect and uphold our systems, carry out investigations to prevent security issues) • We have a legal obligation to ensure the security of personal data and our systems | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, finance document management providers and software and platform providers • Third party compliance entity • Professional third parties such as lawyers and auditors • Our regulator the FCA • Selected third parties in connection with the |

| Purpose for processing your personal data | Legal basis for processing your personal data | With whom do we share your personal data |
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| | | sale, transfer or disposal of our business |
| To comply with applicable laws and our regulated obligations, court orders, government and law enforcement agencies' requests. | <ul style="list-style-type: none"> • We have a legitimate business interest to comply with law enforcement agencies' requests and assist with the prevention/detection of criminal activity • We have a legal obligation | <ul style="list-style-type: none"> • Professional third parties such as auditors, lawyers and tax advisers • Selected third parties in connection with the sale, transfer or disposal of our business • Any third party in order to meet our legal and regulatory obligations, including statutory or regulatory reporting, or the detection or prevention of unlawful acts. • Government departments where reporting is mandatory under applicable law. • Our regulator the FCA • Police or law enforcement agencies |
| To carry out marketing activities or send you marketing information about our services. | <ul style="list-style-type: none"> • We have your consent • We have a legitimate business interest (marketing) | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, document management providers • Marketing agencies • Introducers • Selected third parties in connection with the sale, transfer or disposal of our business |
| For general business management and operation purposes such as business management, accounting, administration, planning, analysis and audits | <ul style="list-style-type: none"> • We have a legitimate business interest (business administration and operations) • We have a legal obligation | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, finance and payment processing providers, document |

| Purpose for processing your personal data | Legal basis for processing your personal data | With whom do we share your personal data |
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| | | management providers and software and platform providers <ul style="list-style-type: none"> • Third party compliance entity • Professional third parties such as actuaries, auditors, lawyers and tax advisers • Selected third parties in connection with the sale, transfer or disposal of our business • Our regulator the FCA |
| To exercise and/or defend our legal rights | <ul style="list-style-type: none"> • We have a legitimate business interest (to exercise and/or defend legal rights) • We have a legal obligation | <ul style="list-style-type: none"> • Professional third parties such as auditors, lawyers and tax advisers • Selected third parties in connection with the sale, transfer or disposal of our business • Any third party in order to meet our legal and regulatory obligations, including statutory or regulatory reporting, or the detection or prevention of unlawful acts. • Our regulator the FCA • Police or law enforcement agencies |
| In connection with a business transaction such as merger, restructuring or sale of the business or business strategies | We have a legitimate business interest (business administration and operations) | <ul style="list-style-type: none"> • Professional third parties such as auditors, lawyers and tax advisers • Selected third parties in connection with the sale, transfer or disposal of our business |

Please note that we will keep your personal data confidential and will only share it (in the ways described above) where necessary. When we appoint third party service providers

who act as processors on our behalf, we require them to comply with strict contractual obligations (which restrict their uses) and data protection laws.

3.2 **Our business partners, suppliers and their personnel**

This section provides information about the personal data about you that we obtain and use if you are a supplier, introducer or business partner that we engage or work with when providing our services or running our business.

(a) What personal data do we collect and use?

- (i) **Identity Details** includes name, title, gender and date of birth
- (ii) **Contact Details** includes telephone numbers, email addresses (personal or work), and contact address
- (iii) **Business/professional Details** includes industry or job role or credentials
- (iv) **Financial Information** includes bank details and account numbers and invoice details
- (v) **Technical Data** which is any information obtained from cookies. Please see our cookies policy at <https://www.mayfair-capital.co.uk/cookie-policy> for more information
- (vi) other information (including publicly available information) obtained as part of our due diligence checks
- (vii) information captured during any correspondence with you

We do not collect any of your special category data; this is any information relating to your health or medical records, genetic or biometric data, criminal convictions, sex life, sexual orientation, racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership) or criminal convictions data.

(b) How do we collect your personal data?

We may collect your personal data:

- (i) directly from you
- (ii) via our website
- (iii) during any form of communications or correspondence
- (iv) from third parties who might introduce or refer you to us
- (v) via publicly available sources such as internet search engines or companies house
- (vi) from professional advisors including external legal advisors

(b) For what purpose do we use your personal data and who do we share it with?

We process your personal data for a number of different purposes and under data protection laws, we must have a "lawful basis" to do so. We rely on the following 'lawful bases' when processing your personal data:

- (i) we need to use your personal data to enter into or perform our agreement with you, for example, in order to fulfil our obligations to you under our contractual agreement in place with you;
- (ii) we or a third party have a legitimate business interest to use your personal data and your interests and fundamental rights do not override those interests. In all such circumstances, we will always consider your rights to privacy and carry out a balancing exercise to ensure that our legitimate business interest does not cause you harm or override your own right to privacy;
- (iii) we need to process your data for compliance with our legal or regulatory obligations as a regulated FCA entity.

Please see below for further details of the different ways we use your personal data, the lawful bases we rely on when doing so and details of with whom we may share your personal data.

| Purpose for processing your personal data | Legal basis for processing your personal data | With whom do we share your personal data |
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| Administration, onboarding of a supplier/business partner (including due diligence checks) and supplier management; this will include billing and financing and general correspondence or communication | <ul style="list-style-type: none"> • We need to use your personal data to perform the agreement we have with you. • We need to use your personal data for our legitimate business interests (business administration and operations) | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, finance and payment processing providers, • Professional third parties such as auditors, lawyers and tax advisers • Selected third parties in connection with the sale, transfer or disposal of our business • Our regulator the FCA |
| To comply with applicable laws and our regulated obligations, court orders, government and law enforcement agencies' requests | <ul style="list-style-type: none"> • We have a legitimate business interest (to comply with law enforcement agencies' requests and assist with the prevention or detection of criminal activity). • We have a legal obligation. | <ul style="list-style-type: none"> • Professional third parties such as auditors, lawyers and tax advisers • Selected third parties in connection with the sale, transfer or disposal of our business • Any third party in order to meet our legal and regulatory obligations, including statutory or regulatory reporting, or the detection or prevention of unlawful acts. • Government departments where reporting is mandatory under applicable law. |

| Purpose for processing your personal data | Legal basis for processing your personal data | With whom do we share your personal data |
|------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | <ul style="list-style-type: none"> • Police or law enforcement agencies • Our regulator the FCA |
| For general business management and operation purposes such as business planning and audits | We have a legitimate business interest (business administration and operations) | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, finance and payment processing providers, • Professional third parties such as actuaries, auditors, lawyers and tax advisers • Selected third parties in connection with the sale, transfer or disposal of our business • Our regulator the FCA |
| To exercise and/or defend our legal rights | <ul style="list-style-type: none"> • Legitimate interests (to exercise and/or defend legal rights) • We have a legal obligation | <ul style="list-style-type: none"> • Professional third parties such as auditors, lawyers and tax advisers • Selected third parties in connection with the sale, transfer or disposal of our business • Our regulator the FCA |
| In connection with a business transaction such as merger, restructuring or sale of the business or business strategies | We have a legitimate business interest (business administration and operations) | <ul style="list-style-type: none"> • Professional third parties such as auditors, lawyers and tax advisers • Selected third parties in connection with the sale, transfer or disposal of our business |

Please note that we will keep your personal data confidential and will only share it (in the ways described above) where necessary.

3.3 **Visitors to our website**

This section details the personal data about you that we obtain and use if you are a user of our website.

(a) What personal data do we collect and use?

- (i) general information such as your name, job title and company you work for if you submit an enquiry via our website
- (ii) contact details including your phone number and email address
- (iii) any information that you choose to provide to us in relation to the nature of your query
- (iv) information obtained through our use of cookies such as unique user identifiers, IP address and login data; please see our cookies policy at <https://www.mayfair-capital.co.uk/cookie-policy> for more information
- (v) your marketing preferences

(b) How do we collect your personal data?

We obtain your personal data directly from our website and via cookies.

(a) For what purpose do we use your personal data and who do we share it with?

We process your personal data for a number of different purposes and under data protection laws, we must have a "lawful basis" to do so. We rely on the following 'lawful bases' when processing your personal data:

- (i) we or a third party have a legitimate business interest to use your personal data and your interests and fundamental rights do not override those interests, such as maintaining our business records, conducting audits; ensuring the security of our systems and carrying out business analysis. In all such circumstances, we will always consider your rights to privacy and carry out a balancing exercise to ensure that our legitimate business interest does not cause you harm or override your own right to privacy; or
- (ii) we have your consent.

Please see below for further details of the different ways we use your personal data, the lawful bases we rely on when doing so and details of with whom we may share your personal data.

| Purpose for processing your personal data | Legal basis for processing your personal data | With whom do we share your personal data |
|-----------------------------------------------------------------|---------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Communicating with you and responding to any enquiries you have | We have a legitimate business interest (business administration and operations) | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, our website operators and software and platform providers • Selected third parties in connection with the sale, transfer or disposal of our business |
| Ensuring that our websites operate and are user friendly | We have a legitimate business interest (IT operations) | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, our website operators and software providers • Selected third parties in connection with the sale, |

| Purpose for processing your personal data | Legal basis for processing your personal data | With whom do we share your personal data |
|--------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | transfer or disposal of our business |
| Monitoring and analysing usage of our website and presenting relevant information to you based upon your browsing habits | We have your consent. | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, Google Analytics, our website operators and software providers • Selected third parties in connection with the sale, transfer or disposal of our business |
| Advertising, marketing, and promotional purposes | We have your consent. | <ul style="list-style-type: none"> • Service providers and agents (including their subcontractors) such as IT suppliers, Google Analytics, our website operators and software providers • Selected third parties in connection with the sale, transfer or disposal of our business • Marketing agencies |

Please note that we will keep your personal data confidential and will only share it (in the ways described above) where necessary. When we appoint third party service providers who act as processors on our behalf, we require them to comply with strict contractual obligations (which restrict their uses) and data protection laws.

4. AUTOMATED PROCESSING

We do not carry out any automated decision-making. If this changes, we will let you know.

5. INTERNATIONAL TRANSFERS OF PERSONAL DATA

We do not transfer your personal data outside of the UK and/or the EEA. If this changes, we will let you know.

6. DIRECT MARKETING

6.1 We may from time to time provide you with information about our services or those of third parties which we think will be of interest to you or which you have asked us to provide you with. This may be sent by email or we may contact you by phone.

6.2 We ensure that our marketing activities comply with all applicable law. In some cases, this may mean that we ask for your consent before sending you marketing emails.

6.3 Please note that you can opt out of receiving any marketing communications at any time. An "unsubscribe" link appears in all our marketing emails. To unsubscribe from emails sent by us, simply click on the link at any time. Alternatively, you can contact us to update your preferences using the contact details in the "Contacting Us" section below (see section **Error! Reference source not found.**). In such circumstances, we will continue where necessary to send you service related communications as these will not constitute marketing communications.

7. HOW WE PROTECT YOUR PERSONAL DATA

We are committed to safeguarding and protecting your personal data and implement and appropriate technical and organisational measures to ensure that your personal data is adequately protected.

8. HOW LONG WE WILL HOLD YOUR PERSONAL DATA FOR

We will store your personal information for as long as is reasonably necessary for the purposes set out in this privacy policy and to comply with our regulatory obligations as mandated by the FCA. For example where you are a client, we will retain your personal data for seven (7) years following the expiry of our business relationship with you. Where your personal information is no longer needed, we will ensure that it is disposed of in a secure manner.

9. YOUR RIGHTS IN RELATION TO THE PERSONAL DATA WE COLLECT

9.1 Under data protection laws within the UK, you have certain data protection rights which you can exercise in respect of the personal data that we hold about you. If you wish to exercise these rights at any time please contact us using the details set out in section 10.

9.2 Please note that not all of your data subject rights will be absolute this means that there may be some circumstances where we may not be able to comply with your request (such as where this would conflict with our obligation to comply with other regulatory and/ or legal requirements). However, if we cannot comply with your request, we will tell you the reason, and we will always respond to any request you make.

9.3 There may also be circumstances where exercising some of these rights (such as the right to erasure, the right to restrict processing and the right to withdraw consent) will mean we can no longer provide you with our services and it may therefore result in the cancellation of our agreement with you. We will inform you of these consequences when you exercise your right.

9.4 Your rights under data protection laws in the UK are:

(a) **the right to access your personal data:**

(i) you are entitled to a copy of the personal data we hold about you and certain details of how we use it; and

(ii) we will usually provide you with your personal data in writing, unless you request otherwise, or where you have made the request using electronic means, in which case the information will, where possible, be provided to you by electronic means;

(b) **the right to rectification:** we take reasonable steps to ensure that your personal data that we hold is accurate and complete, however, you can ask us to amend or update the personal data if you do not believe that this is so or if your details change;

(c) **the right to erasure:** you have the right to ask us to erase your personal data in certain circumstances, for example where you withdraw your consent or where the personal data we obtained is no longer necessary for the original purpose; this right, will, however, need to be balanced against other factors, for example, we may have legal obligations which mean we cannot comply with your request;

(d) **the right to restrict processing:** in certain circumstances, you are entitled to ask us to stop using your personal data, for example where you think that we no longer need to use your personal data or where you think that the personal data we hold about you may be inaccurate;

- (e) **the right to data portability:** you have the right, under certain circumstances, to ask that we transfer personal data that you have provided to us to another third party of your choice;
- (f) **the right to object to marketing:** you can ask us to stop sending you marketing messages at any time. You can exercise this right by either clicking on the "unsubscribe" link which is contained in any email that we send to you or you can use the details set out in the "Contacting Us" section to contact us (see section 10). Please note that exercise of this right does not extend to service related communications which, where necessary, we will continue to send;
- (g) **the right to object to processing:** where we process your personal data based on our legitimate business interests (indicated in this privacy policy), you can object to our processing. We will consider your objection and determine whether or not our legitimate business interests prejudice your privacy rights;
- (h) **the right to withdraw consent:** we may ask for your consent for certain uses of your personal data – we have indicated in this privacy policy where we do need your consent. You have the right to withdraw your consent at any time; and
- (i) **rights relating to automated decision-making:** we do not carry out any automated decision making. If this changes in the future, we will let you know.
- (j) **to the right to lodge a complaint with the data protection regulator:** we encourage you to contact us (using the details in the "Contacting Us" section (see section 10) if you have any concerns with how we use your personal data and we will do our best to resolve your concerns.

However, please note that you have a right to complain to the Information Commissioner's Office, (address: Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF) if you believe that any use of your personal data by us is in breach of applicable data protection laws. You can find out more information at the Information Commissioner's Office website: <https://ico.org.uk/>.

10. CONTACTING US

If you have any queries about the contents of this privacy policy, or wish to inform us of a change or correction to your personal data or would like to raise a complaint relating to our uses of your personal data, please contact us using the details set out below:

Email: info@mayfair-capital.co.uk

Post: 35 Berkerley Square, Mayfair, W1J 5BF

11. HOW WE UPDATE OR CHANGE THIS PRIVACY POLICY

11.1 We may change or update parts of this privacy policy in order to ensure compliance with applicable laws and our regulated obligations or following a change to our business or the ways in which we use your personal data. We will do this by updating this Privacy Policy. You will not necessarily be directly notified of such a change. Therefore, please ensure that you regularly check this privacy policy so you are fully aware of any changes or updates.

11.2 This privacy policy was last updated on 11/05/2022