

GDPR Privacy Notice

Who we are

Williams Investment Management LLP is a Data Controller registered in accordance with the Data Protection (Charges and Information) Regulations 2018. We are registered with the Information Commissioner's Officer (the ICO) under registration number Z858369X.

Whilst we are not required to nominate a Data Protection Officer, we undertake at all times to comply with the provisions of General Data Protection Regulation and keep confidential all personal data processed for the purposes of our services. Our nominated Information Security Officer is Emma Chisholm.

References to 'we', 'our' and 'us' are all references to Williams Investment Management LLP.

Purpose of the Privacy Notice

In order to provide services to you, we are required to collect and hold personal data to meet our legal, regulatory and operational obligations. If you do not provide this information to us, it may prevent or delay us fulfilling our obligations or performing services.

We want to assure all our clients and contacts that we take our responsibilities seriously.

If our relationship is with an appointed agent, it is their responsibility to ensure all parties understand how their information will be used and they should share a copy of our GDPR Privacy Statement with all relevant parties.

Our obligations

We understand that personal information (also known as data) is any information relating to an identifiable person who can be directly or indirectly identified; we are required to process a wide range of personal data in the course of providing regulated services. We ensure that personal data is:

- processed lawfully, fairly and in a transparent manner in relation to individuals;
- collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes;
- adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;
- accurate and, where necessary, kept up to date; every reasonable step must be taken to ensure that personal data that are inaccurate, having regard to the purposes for which they are processed, are erased or rectified without delay;
- kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed;
- processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

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What is Personal Information?

We are required to collect a variety of personal information about you, including:

- Demographics such as your title, name, date of birth, Nationality, gender and marital status
- National identification numbers, including where applicable tax registration numbers
- Education and employment details; family circumstances & lifestyle
- Mental and physical health, including vulnerability
- Any information you have chosen to share, such as; opinions, travel plans etc
- Communications by any method including call recordings
- Current financial situation and financial history
- Source of wealth/funds; details of income and expenditure
- Bank account details; tax status
- Any other financial information that you choose to share with us

The above list is not exhaustive, but it covers the most common items of personal information we are required to process in order to provide you with a service.

How we obtain your Personal Information

Usually, we collect personal information directly from you in face-to-face meetings or by verbal/written communications.

We may process personal data collected from, and relating to, third parties, for example, public sources, a pension or product/service provider, financial advisers, settlement agents, introducers and authorised representatives acting on your behalf such as a family member or legal representative. This can include information about you and other individuals, such as your family, and may include information about your health, contact details and relevant assets, financial or policy details for the purposes of administering services we provide to you.

We also use publicly available sources, such as Companies House, Sanction Lists, general websites including social media.

How we process your Personal Information

When you use our services, we may use the following types of information about you:

- information you give us, that we acquire, or that we already hold about you
- information about other people with whom you have a financial relationship
- information available in public records, such as the Electoral Register and any information about you that is openly available on the internet
- If you voluntarily provide us with any special categories of personal data (for example about your health), we may process this information as needed to assist you or carry out your requests. We will only process this information when we have your consent or where we are legally/regulatory required to by law.

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When we use your personal information, the law says we must be able to show that we have a lawful ground for doing so.

Our Lawful Grounds are:

- we have a legal obligation
 - the processing of personal data is necessary for us to comply with our statutory obligations as a regulated financial services firm
- when it is necessary to carry out a contract with you or to take steps to enter into a contract with you
 - the processing of personal data is necessary for a contract that we have entered into with the data subject, or because the person has asked us to take specific steps before entering into a contract
- it is in our legitimate interest
 - the processing of personal data is necessary for our legitimate interests or the legitimate interests of a third party unless there is a good reason to protect the personal data which overrides those legitimate interests.

When we process personal information on the basis that it is in our legitimate interests to do so we will have undertaken an assessment to ensure our processing is transparent, proportionate and does not unfairly prejudice your interests.

Our Legitimate Interests are:

- To provide the services required
- Meeting our contractual and legal obligations in the most effective way we can
- To comply with a wide range of regulatory obligations to ensure our clients and our business are protected
- To enable us to understand your needs and manage your account in an efficient way
- To ensure we are acting responsibly
- To ensure we invest in a way that is and remains suitable for your circumstances.

With whom do we share your Personal Information?

When we use your personal information in the ways detailed above we may need to share it with other organisations/individuals as detailed below:

- our settlement agents
- service providers including technology providers
- HM Revenue & Customs or other government or regulatory authorities when we are required or requested to disclose personal information to them. Some of these government agencies or regulated authorities may be located outside the UK.
- third parties that introduced you to us and/or have a relationship with you
- our nominated banks if necessary for immediate payments
- to any other parties connected to your account including (but not limited to), power of attorney, deputy, individuals who are given third party authority on all or some of your account

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Please note that recipients of your personal information may also use it for their own purposes where they have lawful ground to do so. Please check the terms of their privacy statement for how they will use the information.

We will not share your information with any third parties for the purpose of direct marketing.

Transfers of Personal Information to outside the UK

We may transfer your personal information outside the European Economic Area ('EEA') including to the United States. If this is the case we will ensure appropriate safeguards are in place to protect your personal information in the same way as it would be if it was being processed in the EEA.

How long will we keep the Personal Information for?

The length of time we will retain your information will depend on how long our relationship lasts. We will retain your personal information whilst you have a relationship with us. We will retain the information for a minimum of 10 years after your relationship ends to allow us to respond to any questions or complaints and to maintain evidence we have treated you fairly.

We may also keep the information for longer than 10 years after our relationship ends, where necessary for legal or regulatory requirements, where the information is required regarding any ongoing or outstanding claims or legal action, or if we can't delete the information for technical reasons (in which case we will take appropriate measures to protect the information from further processing or use and will only process for those purposes).

Your Rights

The UK GDPR Regulations provide the data subject, with a number of rights when it comes to your personal data.

You have a right to be informed and this GDPR Privacy Notice is intended to do that.

On receipt of a valid request to invoke one of your rights, we will do our best to adhere to your request as promptly as reasonably possible.

All right requests must be referred to the Information Security Officer at Williams Investment Management. We will not make a charge for responding to such requests.

Right of Access

You or your appointed agent have the right to inspect all records relating to you and your transactions through us. There are exceptions to this right so that access may be denied if, for example, making the information available to you would reveal personal data about another person or if we are legally prevented from disclosing such information.

We firstly verify the identity of the person making the request to ensure that it is the data subject or a person to whom the data subject has given authority (such as a power of attorney).

We aim to provide information within one month, though this can be extended to two months if requests are complex or numerous, and we have explained this to the individual.

We do not make a charge unless we are required to provide the same information more than once, in which case we make a charge to cover our administrative costs.

If we decide to refuse to respond to a request on the grounds that it is unfounded or excessive we will explain our reasons to the individual and inform them of their right to complain to the supervisory authority without delay and within one month.

Right to Rectification

We aim to keep your personal data accurate, current, and complete. We encourage you to contact us to let us know if any of your personal data is not accurate or changes, so that we can keep your personal data up to date.

You or your appointed agent have the right to inspect all records relating to you and your transactions through us and where appropriate have them corrected. We will normally rectify inaccurate or incomplete data within one month of the request; or within two months for complex matters. We will notify third parties to whom we have passed the data unless this will be disproportionately burdensome for us. Should we refuse to rectify data we will explain why and inform the individual of their right to complain.

Right to Erasure

The 'right to be forgotten' means you can request that we delete your information when there is no reason for its continued processing. As a financial firm obliged to comply with various legal and regulatory requirements there is a wide range of reasons we retain your information.

This right applies in the following circumstances, all of which may be relevant to us at some time in the normal provision of our services:

- the personal data is no longer necessary for the purpose for which it was originally processed;
- the individual withdraws consent;
- the individual objects to the processing and there is no over-riding legitimate interest for continuing the processing;
- the personal data was unlawfully processed (ie, in breach of GDPR);
- the personal data must be erased in order to comply with a legal obligation;

However, if you think we are processing your information without a compelling reason, we can review it.

Where we erase personal data, we will tell other recipients (if relevant) unless to do so would be disproportionately burdensome for us.

Right to Restrict Processing

The right to object to processing means you can request that we stop using your information when there is no reason for its continued processing. As a financial firm obliged to comply with various legal and regulatory requirements there is a wide range of reasons we retain your information.

We are aware that we must restrict processing of data in the following circumstances:

- the individual contests the accuracy of the data – processing must be restricted until the accuracy is verified;
- where an individual objects to the processing for legitimate interests purposes, whilst we are considering whether our legitimate interests over-ride those of the individual;
- when processing is unlawful and the individual requests restriction rather than erasure;
- where we no longer need the data but the individual needs it in connection with a legal claim.

If we have disclosed the data to others we will inform them of restrictions, unless to do so would be disproportionately burdensome for us. We will also inform individuals when restrictions are lifted.

Right to Object

You have the right to object to the processing of your personal data for direct marketing. Opting out of receiving marketing communications will not affect the processing of personal data for the provision of our services.

If an individual objects to our processing their data on the grounds of our legitimate interests (other than for direct marketing purposes) we will stop processing the data unless:

- we can demonstrate compelling legitimate grounds for the processing which override the interests and freedoms of the individual; or
- the processing is in connection with legal claims.

Complaints

If you are unhappy with how or why we have used your personal information please contact Emma Chisholm who is the firm's Head of Compliance. You also have a legal right to complain to the Information Commissioner's Office and you can find out more at their website www.ico.org.uk