

Compliance and Training Solutions Ltd  
Website Privacy Notice



## Privacy notice

CATS (Compliance and Training Solutions Ltd) is a team of compliance consultants that provide compliance support to IFAs (Independent Financial Advisory firms) throughout the UK. We respect your privacy and value the trust you place in us when you share your personal information with us. This page explains what personal information we collect, why we need it, how we protect it and what your rights are to control our use of your data.

This privacy notice was last updated on 10/05/2021.

### Who is the data controller?

The Data Controller is CATS Ltd of 40 Broomfield House, Lanswood Business Park, Elmstead Market, Colchester, Essex CO7 7FD.

CATS is registered with the Information Commissioner's Office (ICO) and our registration number is Z9214237.

You can contact us at [martyn@complianceandtraining.co.uk](mailto:martyn@complianceandtraining.co.uk) or on 01206 230804

### Why do we need to use your personal information?

#### ***If you work for an IFA***

We collect information about you when your company engages us for compliance advisory advice so that we can deliver our services to your company. We also have to meet regulatory obligations on the services we provide.

#### ***If you are a client of an IFA (or a dependant/beneficiary of a client)***

We receive information about you as part of the compliance and due diligence checks we undertake for IFA businesses. This is to ensure that the services your IFA provides comply with regulatory requirements.

#### ***If you have completed our contact form or signed up to a mailing list***

We will use your information to provide a response and send information we think you'll find useful.

#### ***If you're browsing our website***

We will process your personal information to track your use of our site, so we can improve our site from time to time.

### What personal information do we collect?

#### ***If you work for an IFA***

We collect contact information (such as email and phone details), and some financial information related to your business.

#### ***If you are a client of an IFA (or a dependant/beneficiary of a client)***

We may have access to full advisory information provided to you by your IFA in order to complete our regulatory checks and audits. This may include “special category” information – such as details related to your health or beliefs.

**If you have completed our contact form or signed up to a mailing list**

We will your contact information – such as email address and phone number.

**If you’re browsing our website**

We will collect your computer’s IP address.

**What is our lawful basis for processing personal data?**

***If you work for an IFA***

We have a contract with your employer to deliver services to them and it’s in our **legitimate interests** to process your information so that we can deliver our services to them. We also have a **legal obligation** to ensure our services, your employer’s services and your activities comply with the law.

***If you are a client of an IFA (or a dependant/beneficiary of a client)***

We have a **legal obligation** to ensure your IFA’s services comply with the law, and to assist with any checks or investigations made by the FCA (Financial Conduct Authority.)

We also use a further lawful basis of **legal claims** to process your health and other “special category” information. This means that we’re helping you to establish, defend or exercise future legal claims.

**If you have completed our contact form, signed up to a mailing list or accepted our cookies on our website**

We are using your information based on your **consent**. You will always have the option to opt out of receiving emails by clicking the Unsubscribe links.

**Who do we share information with?**

Most of your personal information is retained within CATS.

We may share your information with companies that we use for services such as financial research and planning advisory services, product providers and to conduct regulated checks.

We use some external providers for our accounting, IT services and transcription of discussions. These “processors” act only after receiving written instructions from us.

In the interests of security, we don’t list those companies here but we’re happy to provide a list to you directly – just contact us at [martyn@complianceandtraining.co.uk](mailto:martyn@complianceandtraining.co.uk) or on 01206 230804

### Where do we store information, does it leave the UK or EU?

We keep your information in the EU, where it is protected by the UK Data Protection Act 2018 and by the EU General Data Protection Regulations (GDPR).

We may share your information with external service providers that we use. They, in turn, may store the information on their own servers – some of these are outside the UK or the EU. These are called “international transfers” of your data.

UK and EU data protection law is some of the best in the world, so we ensure that your personal data is protected by “Standard Contractual Clauses” that apply the stringent standards of the UK Data Protection Act 2018 and GDPR to any place your information is held.

### How long do we keep your information?

We have a legal obligation to retain your records. We reserve the right to retain data for 15 years, or for longer where we believe it’s in our legitimate interests to do so, or where we need to establish or defend a legal claim.

You have the right to request deletion of your personal data. We’ll comply with this request, subject to the restrictions of our regulatory obligations.

### What are your rights over your personal information?

Your personal information belongs to you. You have rights over how your personal information is used, protected in law. Please contact us at [martyn@complianceandtraining.co.uk](mailto:martyn@complianceandtraining.co.uk) or on 01206 230804 if you’d like to exercise your rights or want further information on them.

Where we are processing your data based on your consent **you can withdraw your consent** and we must immediately stop processing your data. Please note that up to that point, we’re acting lawfully with your consent, withdrawal of consent cannot be backdated.

You have the right to **request a copy of all personal data we hold relating to you** and we must provide this within 30 days. You also have the right to require us to correct any records that are wrong. We have the right to confirm your identity before providing this information.

You have the right to **require us to erase personal data** and we must comply unless we need it for one of the purposes described above (for example, this might include regulatory obligations we have to keep certain financial records.) We also retain the right to keep data that is needed to establish, exercise or defend a legal claim.

Where we process your data based on a “legitimate interest” (see lawful basis section, above) you still have the right to **object to our processing of your data**. From that point, we must stop processing your data until we have determined whether your rights to privacy override the legitimate interests we have defined.

You may have the right to **have your personal data transferred to another provider**, and we're obliged to provide it to you in a clear and reasonable format.

We do not carry out any automated profiling of personal data.

#### Your rights to complain – to us and to the regulator.

If you have a complaint about how we use your personal information, please contact us in the first instance at: [martyn@complianceandtraining.co.uk](mailto:martyn@complianceandtraining.co.uk) or on 01206 230804

We hope that we can resolve your issue to your satisfaction. If not, you also have a right to lodge a complaint with the regulator, the Information Commissioner's Office (the ICO). Please refer to the ICO at <https://ico.org.uk/concerns> or by calling them on 0303 123 1113.

#### Changes to this privacy notice

This privacy notice was last updated on 10/05/2021. We may change this privacy notice from time to time by amending this page.