

Nicholas James Associates

Data Protection Policy

June 2019

Nicholas James Associates understand the need to keep personal information confidential and secure to respect the privacy of all clients.

This data protection policy sets out:

- What personal information do we collect and why?
- What permits us to collect data?
- How do we use your personal information?
- Who we share your information with and why?
- How your information is kept secure
- Your rights
- How to complain

What personal information do we collect and why?

Personal information such as name, address and phone number are collected from potential clients enquiring about services in order to respond with information about the accountancy services we provide and to issue documents such as a Letter of Engagement to contractually become a client.

In addition, client's details to confirm their identity such as date of birth, passport, photo driving license, utility bill, or other identity information as required, are obtained for the purpose of preventing and detecting fraud, crime, anti-money laundering checks or other mal-practice.

In order to perform accountancy work NJA may require any or all of the following personal information: national insurance number, employment details, pensions, investments, property details, bank details, business loans, HPI, as well as access details to various government and accountancy software, and any other relevant information which is deemed necessary.

What permits us to collect data?

The processing of your personal data is allowed under a number of lawful bases. The data obtained for the provision of products and services is utilised on the basis that there is a contract with you to do so. Any relevant marketing activity we undertake is because as a firm we have a legitimate interest to do so however you have rights, as listed below, which impact how we can use and process your data.

How do we use your personal information?

The information you provide is used to support and maintain our contractual relationship and to comply with legal and regulatory requirements. This includes the following:

- Confirming and verifying your identity for security purposes
- Providing advice and services to you
- Carrying out submissions and transactions on your behalf
- Detecting and preventing fraud, crime, money laundering, terrorist financing or other malpractice.

Your information may also be used internally for the purpose of;

- Audit and record keeping
- Training
- Enhancing, modifying and personalising our services to you
- Seasonal communications (Xmas cards)

As outlined in the 'Your Rights' section, you have the right to object to any of this processing if you so wish. However, it is important to bear in mind that NJA only request data that is required to carry out their contractual services to you and withholding or restricting the use of personal information may affect their ability to carry out these tasks.

Who we share your information with and why?

We share your information with trusted third parties who perform tasks which support the services you require; these include:

- HMRC
- Companies House
- Other Accountancy advisors
- Third parties to verify your identity, in line with anti-money laundering or -terrorist financing requirements
- Third parties who perform tasks for us which support the services you require (these third parties may be based in countries outside the European Economic Area (EEA) but where they are, we will undertake an assessment of the safeguards in place)
- Other organisations, including regulatory bodies, the police and fraud prevention agencies, to detect and prevent fraud.
- Third parties where required by law, court order or regulation.
- Third parties as part of an acquisition or sale.

How your information is kept secure

We are committed to keeping your personal data secure and confidential. We maintain appropriate security controls for hard copy and electronic data and continue to review these procedures to ensure personal information remains secure.

When we contract third parties, we impose appropriate security, privacy and confidentiality obligations on them to ensure that personal information is kept secure.

If we work with third parties in countries outside the EU we ensure these are countries that the European Commission has confirmed have an adequate level of protection for personal information, or the organization receiving the personal data has provided adequate safeguards.

On rare occasions, data may be accessed from outside the EEA i.e. by employees when they travel. In these circumstances we ensure there are appropriate information security measures in place to safeguard your information.

Your Rights

Nicholas James Associates tries to be as open as it can be in terms of giving people access to their personal information and has outlined in brief your rights below. Further information on data protection and your individual rights can be obtained via the Information Commissioners Office website: <https://ico.org.uk/>

The GDPR provides the following rights for individuals:

- The right to be informed – you can request that we provide ‘fair processing information’
- The right of access – you may request a copy of the personal information we hold about you
- The right to rectification – the accuracy of your personal information is important to us. You have the right to ask us to update or correct your personal information.
- The right to erasure – you may request the deletion or removal of your personal data where there is no compelling reason for its continued processing.
- The right to restrict processing – you have the right to request we ‘block’ or suppress processing of your data where there is no compelling reason for its continued processing.
- The right to data portability – you may request to obtain and reuse your data.
- The right to object – you may object to the processing of your data due to legitimate interests.
- The right not to be subjected to automated decision making and profiling.

Should you have any questions about our use of your personal data, or wish to exercise any of your rights listed above, please contact Nicholas James Associates.

How to Complain

If you wish to make a complaint about how we have handled your personal data, you can contact Nicholas James Associates and we will investigate the matter internally.

If you are not satisfied with our response or believe we are not processing your personal data in accordance with the law you can complain to our regulator the Information Commissioner's Office through their website <https://ico.org.uk/> or in writing:

Information Governance Department

Information Commissioner's Office

Wycliff house

Water Lane

Wilmslow

Cheshire

SK9 5AF

0303 123 1113