# PRIVACY STATEMENT

Austex Markets (Pty) Limited

Authorised Financial Services Provider — FSP No. 55684

Company Registration Number: 2025/752572/07

Registered Office: 1 Hood Avenue, Rosebank, Johannesburg, Gauteng, 2196

Issue Date: 27 July 2026

## 1. Introduction

Austex Markets (Pty) Limited (registration number 2025/752572/07) ("Austex Markets", "the Company", "we", "us" or "our") is authorised and regulated by the Financial Sector Conduct Authority ("FSCA") to act as a Financial Services Provider (FSP No. 55684), and operates under the Financial Advisory and Intermediary Services Act 37 of 2002 ("FAIS Act"). Austex Markets is committed to protecting the privacy of all personal information that it processes in accordance with the Protection of Personal Information Act 4 of 2013 ("POPIA").

This Privacy Statement ("Statement") explains how we collect, use, store, share and protect your personal information when you visit our website, open an account with us, or otherwise interact with us. It applies to all clients, prospective clients and visitors to our website at www.austex.com.

This Statement should be read together with our Financial Services Guide, Terms and Conditions and Product Disclosure Statement. If you do not agree with this Statement, please do not provide us with your personal information or use our services.

## 2. Collection of Personal Information

We may collect the following categories of personal information from you, directly or from third parties, in the course of our relationship with you:

- Contact details, such as your full name, postal and residential address, telephone number and e-mail address;
- Identification details, such as your South African ID number or passport number, date of birth and nationality;
- Biographical and demographic information, including details required to assess whether you are a politically exposed person ("PEP");
- Financial information, such as your source of funds, source of wealth, income, employment details, bank account details and tax reference number;
- Trading and transaction information, including your account activity, deposits, withdrawals and communications with us;
- Technical information, including your IP address, device information, browser type, and information collected through cookies (see section 6 below);
- Where legally required, information about any criminal record, for the purposes of compliance with the Financial Intelligence Centre Act 38 of 2001 ("FICA"); and
- Your marketing preferences and communication history with us.

We collect this information when you complete an account application, use our trading platform or website, contact our support team, or as required for compliance with applicable law, including FICA and the FAIS Act.

### 2.1 Unsolicited personal information

If we receive personal information about you that we did not solicit — for example, information you volunteer beyond what our application form requests, or information a third party sends us in error — we will determine whether we could lawfully have collected it for a purpose described in this Statement. If we could not, we will, where lawfully required to do so, destroy or de-identify that information as soon as practicable, unless we are required by law to retain it.

## 3. Special Personal Information

POPIA affords additional protection to "special personal information", being information concerning your religious or philosophical beliefs, race or ethnic origin, trade union membership, political persuasion, health or sex life, biometric information, or criminal behaviour. We do not generally collect special personal information about you.

Where we are required to process limited categories of special personal information — for example, biometric information for identity verification purposes, or information about criminal behaviour for the purposes of complying with FICA and our anti-money laundering obligations — we do so only to the extent permitted under sections 26 to 33 of POPIA (including because the processing is necessary for compliance with a legal obligation, or another applicable exclusion applies), and subject to appropriate additional safeguards.

## 4. No Collection of Children's Information

Our services are not directed at, and we do not knowingly collect personal information from, persons under the age of 18. If we become aware that we have inadvertently collected personal information from a minor without the consent of a competent person as required by section 35 of POPIA, we will take reasonable steps to delete that information.

## 5. How We Use Your Personal Information

We process your personal information for the following purposes, consistent with the purpose specification condition in sections 13 and 14 of POPIA:

- to verify your identity and assess your eligibility to open and maintain a trading account with us, including "Know Your Client" and FICA due diligence;
- to provide, administer and improve our financial services and products, including processing deposits, withdrawals and trades;
- to communicate with you about your account, our products and services, and any changes to our terms or policies;
- to comply with our legal and regulatory obligations, including under the FAIS Act, FICA, the Financial Markets Act 19 of 2012, and any request from the FSCA, the South African Reserve Bank, the South African Revenue Service, or a court of law;
- to detect, investigate and prevent fraud, money laundering, terrorist financing and other financial crime;
- to manage risk and to protect the security of our systems and your account; and
- with your consent, or where otherwise permitted by law, to send you marketing communications about our products and services (see section 12 below).

We rely on one or more of the following lawful grounds to process your personal information, as required by section 11 of POPIA: your consent; the necessity of processing to conclude or perform under a contract with you; compliance with a legal obligation; protection of a legitimate interest of yours; or pursuit of our legitimate interests, provided this does not unreasonably override your interests.

## 6. Cookies

Our website uses cookies and similar tracking technologies to improve your browsing experience, understand how visitors use our website, and support the security of our platform. You can control or disable cookies through your browser settings, although doing so may affect the functionality of our website.

## 7. Links to Other Websites

Our website may contain links to third-party websites. We are not responsible for the privacy practices or content of such third-party websites, and we encourage you to review the privacy policy of any website you visit.

## 8. Retention of Personal Information

In accordance with the information quality and processing limitation conditions of POPIA, and our record-keeping obligations under the FAIS Act and FICA, we retain your personal information for as long as reasonably necessary to fulfil the purposes described in this Statement and in accordance with our internal record-retention policy, after which it will be securely deleted or anonymised, unless a longer retention period is required by law.

## 9. Sharing and Disclosure of Personal Information

We may share your personal information with:

- our regulators, including the FSCA, the Financial Intelligence Centre, and the South African Revenue Service, where required by law;
- our professional advisers, including our auditors, legal advisers and compliance consultants;
- service providers who assist us in operating our business, including our trading platform provider, payment processors, banks, identity verification providers, and IT service providers, under appropriate confidentiality and data protection arrangements;
- the Ombud for Financial Services Providers or any other relevant dispute resolution body, in connection with a complaint; and
- any other third party where you have given your consent, or where disclosure is required or permitted by law.

We do not sell your personal information to third parties. Where we appoint an operator (as defined in POPIA) to process personal information on our behalf, we ensure that the operator processes such information only with our knowledge and authorisation, and in terms of a written agreement that imposes security safeguards consistent with sections 19 to 22 of POPIA.

## 10. Business Transfers

If Austex Markets is involved in a merger, acquisition, restructuring, or sale of all or part of its business or assets, your personal information may be transferred as part of that transaction. We will take reasonable steps to ensure that any such transfer complies with POPIA and that the recipient is bound by obligations at least as protective as those set out in this Statement.

## 11. Cross-Border Transfer of Personal Information

We may transfer your personal information to recipients located outside South Africa — for example, where our trading platform, hosting, or other service providers are located abroad. Section 72 of POPIA permits such a transfer only where the recipient is subject to a law, binding corporate rules, or a binding agreement that provides an adequate level of protection substantially similar to POPIA, or where another basis recognised under section 72 applies (for example, your consent, or the transfer being necessary for the performance of a contract with you).

## 12. Direct Marketing

In accordance with section 69 of POPIA, we will only send you direct marketing communications by e-mail, SMS or other electronic means if you have consented to receive them, or if you are an existing client and the marketing relates to similar products or services, and you have been given a reasonable opportunity to opt out. You may withdraw your consent, or opt out of direct marketing, at any time by contacting us at info@austex.com or by using the unsubscribe function in any marketing communication you receive from us.

## 13. Your Rights

In accordance with section 5 of POPIA, you have the right to:

- be notified that your personal information is being collected, and of the purpose for which it is collected;
- be notified if your personal information has been accessed or acquired by an unauthorised person;
- establish whether we hold personal information about you, and to request access to that information;
- request the correction, destruction, or deletion of your personal information that is inaccurate, irrelevant, excessive, out of date, incomplete, misleading, or obtained unlawfully;
- object, on reasonable grounds, to the processing of your personal information;
- object to the processing of your personal information for purposes of direct marketing;
- not be subject to a decision based solely on automated processing, including profiling, which affects you to a significant degree, without the opportunity to make representations about that decision (see section 14 below); and
- submit a complaint to the Information Regulator regarding an alleged interference with the protection of your personal information, and to institute civil proceedings regarding the alleged non-compliance with the protection of your personal information.

To exercise any of these rights, please contact our Information Officer using the details in section 17 below. We will respond to your request within a reasonable time and in accordance with POPIA.

### 13.1 How we handle a correction or objection request

When you ask us to correct, destroy, or delete personal information, or object to our processing of it, we will investigate your request, take reasonable steps to inform ourselves of the correct position where necessary, and either make the requested correction or deletion, or explain to you in writing why we are not doing so — for example, because we are required by FICA, the FAIS Act, or another law to retain the information.

### 13.2 Notation of disputed information

If we do not agree to correct or delete information as you have requested, you may require us to attach to that information a notation that a correction was requested but not made. Where we have already disclosed the disputed information to a third party who is entitled to be informed, we will, on your request and where reasonably practicable, notify that third party of the notation.

## 14. Automated Decision-Making and Profiling

As part of your account application, we may use automated systems to assess your knowledge, experience and appropriateness for trading in the financial products we offer, and for fraud and risk monitoring purposes. In accordance with section 71 of POPIA, you have the right to request that a member of our staff review any such automated decision and to make representations regarding that decision.

## 15. Security of Your Personal Information

In accordance with sections 19 to 22 of POPIA, we implement appropriate technical and organisational measures to protect your personal information against loss, unauthorised access, interference, and unlawful processing. Despite these measures, no method of electronic transmission or storage is completely secure, and we cannot guarantee absolute security.

If we become aware of a security compromise that has led to unauthorised access to or acquisition of your personal information, we will notify you and the Information Regulator as soon as reasonably possible, as required by section 22 of POPIA.

## 16. Amendments to this Statement

We may amend this Statement from time to time to reflect changes in our practices or in applicable law. The updated version will be published on our website at www.austex.com, together with its effective date. We encourage you to review this Statement periodically.

## 17. Contact Us and Complaints

If you have any questions about this Statement, or wish to exercise any of your rights under POPIA, please contact:

- **Information Officer, Austex Markets (Pty) Limited**
- Name: Mr Petrus Engelbrecht van Niekerk
- E-mail: info@austex.com
- Postal address: 1 Hood Avenue, Rosebank, Johannesburg, Gauteng, 2196

If you are not satisfied with our response, you have the right to lodge a complaint with:

- **The Information Regulator (South Africa)**
- Website: www.inforegulator.org.za

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*End of Privacy Statement.*