Equity Risk Control

LEGAL COMPLIANCE DOCUMENTATION PACKAGE

Domain:	equityriskcontrol.uk	**Effective Date:**	November 2025
Jurisdiction:	England & Wales (UK GDPR)	**Status:**	Standard Operating Documents

Legal Notice: This document package contains standard operating templates drafted in accordance with UK law (Companies Act 2006, UK GDPR, and Data Protection Act 2018). It is provided for operational reference and requires professional legal review by a qualified UK solicitor prior to formal execution or binding deployment.

1. WEBSITE PRIVACY POLICY

Equity Risk Control ("we", "our", or "us") is committed to protecting and respecting your privacy. This Privacy Policy explains how we collect, use, store, and protect your personal data when you visit **equityriskcontrol.uk** (the "Site") or interact with our services.

1.1 Important Information & Who We Are

Equity Risk Control is the data controller responsible for your personal data. If you have any questions about this Privacy Policy or our privacy practices, please contact us at:

- **Entity:** Equity Risk Control
- **Website:** equityriskcontrol.uk
- **Privacy Contact:** info@equityriskcontrol.com

1.2 The Data We Collect About You

Personal data means any information about an individual from which that person can be identified. We collect, use, store, and transfer different kinds of personal data grouped as follows:

- **Identity Data:** Includes first name, last name, username, title, job title, and company name.
- **Contact Data:** Includes email address, telephone numbers, and corporate physical address.
- **Technical Data:** Includes internet protocol (IP) address, browser type and version, time zone setting, browser plug-in types, operating system, and platform.
- **Usage Data:** Includes information about how you use our website, products, and analytics platform.
- **Marketing & Communications Data:** Includes your preferences in receiving marketing from us and our third parties.

1.3 How We Collect Your Data

We use different methods to collect data from and about you including through direct interactions (filling in forms or corresponding via email), automated technologies (cookies and server logs), and third-party analytics providers.

1.4 How We Use Your Personal Data

We will only use your personal data when the law allows us to. Most commonly, we process your personal data under the following legal bases:

Purpose / Activity	Type of Data	Lawful Basis for Processing
To register you as a new client or onboarding user	Identity, Contact	Performance of a contract with you
To process, deliver, and execute risk consultancy services	Identity, Contact, Technical	Performance of a contract with you
To manage our relationship and communicate service updates	Identity, Contact, Marketing	Necessary for our legitimate interests / Legal obligation
To administer, protect, and optimize our Site and IT infrastructure	Technical, Usage	Legitimate interests (business security & IT efficiency)

1.5 Data Security & Retention

We have put in place appropriate security measures to prevent your personal data from being accidentally lost, used, accessed in an unauthorized way, altered, or disclosed. We retain your personal data only for as long as necessary to fulfill the purposes we collected it for, including satisfying any legal, accounting, or reporting requirements.

1.6 Your UK GDPR Rights

Under UK data protection laws, you have rights including access, correction, erasure, objection to processing, restriction of processing, and data portability. To exercise any of these rights, contact info@equityriskcontrol.com

---

2. WEBSITE TERMS OF USE

2.1 Terms of Website Access

These Terms of Use set out the rules for accessing and using our website **equityriskcontrol.uk**. By accessing or browsing the Site, you confirm that you accept these terms and agree to comply with them. If you do not agree, you must cease using our Site immediately.

2.2 Information About Us

equityriskcontrol.uk is operated by Equity Risk Control. We provide equity risk management, quantitative analytics, and corporate advisory consultancy.

2.3 Regulatory Disclaimers & No Financial Advice

> **Important Disclaimer:** Content and materials provided on this Site are for general informational and educational purposes only. They do not constitute financial, investment, tax, or legal advice under the Financial Services and Markets Act 2000 (FSMA) or any Financial Conduct Authority (FCA) regulations.

- **No Offer:** Nothing on this Site constitutes an offer, solicitation, or recommendation to buy, sell, or hold any financial instrument, equity, security, or derivative.
- **Engagement Agreement Governs:** Any formal professional services provided by Equity Risk Control are strictly governed by an executed client Engagement Agreement and applicable schedules, not by the content of this Site.

2.4 Intellectual Property Rights

We are the owner or the licensee of all intellectual property rights in our Site and in the material published on it, including methodologies, text, graphic designs, software code, and trademarked material. All such rights are reserved worldwide. You may print off one copy or download extracts for personal reference, but you must not modify or commercially exploit any material without explicit licensing from us.

2.5 Limitation of Liability

To the fullest extent permitted by UK law, Equity Risk Control excludes all implied conditions, warranties, and representations. We will not be liable for any loss or damage, whether in contract, tort (including negligence), breach of statutory duty, or otherwise, arising under or in connection with the use of or reliance on any content displayed on our Site.

2.6 Governing Law & Jurisdiction

These Terms of Use, their subject matter, and their formation are governed by English law. You and Equity Risk Control both agree that the courts of **England and Wales** shall have exclusive jurisdiction over any disputes.

---

3. CLIENT ASSETS KEY INFORMATION DOCUMENT (CAKID)

Document Reference: CAKID-2026-V1
Target Audience: Onboarded Clients & Corporate Counterparties

3.1 Purpose of This Document

This Client Assets Key Information Document sets out how Equity Risk Control (“Firm”, “we”, “us”) handles, segregates, and protects client money, physical/digital equity documentation, and security instruments entrusted to us during our engagements.

3.2 Holding and Segregation of Client Money

- **Segregated Client Accounts:** Any funds received from clients that are categorized as client money are held in dedicated, segregated accounts established with a regulated exchange platform.
- **Operational Separation:** Client money is kept strictly separate from the Firm’s operational balance sheet and working capital accounts at all times.
- **Interest Treatment:** Unless explicitly agreed otherwise in writing within your signed Engagement Agreement, any interest earned on funds held in segregated client accounts is retained by the Firm to offset bank administrative overheads.

3.3 Safe Custody of Equity Documents & Digital Instruments

- **Physical Instruments:** Where physical share certificates, stock registers, debentures, or title deeds are held, they are stored in secure, fireproof, dual-access vault environments.
- **Digital Assets & Models:** Proprietary equity risk models, valuation files, and electronic registry data are stored on encrypted servers complying with UK Cyber Essentials standards and strict role-based access limits.

3.4 Rights of Set-Off and Liens

Equity Risk Control does not claim any general possessory lien or right of set-off over client documents or segregated funds held on your behalf, save where specifically provided for under applicable law or expressly stipulated in your signed Engagement Agreement in respect of overdue professional fees.

3.5 Insolvency Protection & Recovery Procedures

In the event of insolvency or administrative proceedings involving the Firm:

- Segregated client money and designated client assets do not form part of the Firm's general estate available to creditors.
- Held assets and client funds will be distributed or transferred directly back to clients in accordance with applicable UK insolvency asset recovery rules and client money protections.

3.6 Client Verification & Inquiries

Clients are entitled to request an up-to-date summary or audit statement of their assets, certificates, or funds held in custody. All inquiries regarding asset custody should be directed to `info@equityriskcontrol.com`.