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Promotion of Access to Information Act
2 of 2000 (as amended)**

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FSCA LICENCE #46066

DU PREEZ

FINANCIAL SERVICES

AUTHORISED FINANCIAL SERVICES PROVIDER

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1. LIST OF ACRONYMS AND ABBREVIATIONS

- | | | |
|-----|-------|-----------------------------|
| 1.1 | “CEO” | Chief Executive Officer |
| 1.2 | “DIO” | Deputy Information Officer; |

- 1.3 **“IO“** Information Officer;
- 1.4 **“Minister”** Minister of Justice and Correctional Services;
- 1.5 **“PAIA”** Promotion of Access to Information Act No. 2 of 2000(as Amended);
- 1.6 **“POPIA”** Protection of Personal Information Act No.4 of 2013;
- 1.7 **“Regulator”** Information Regulator; and
- 1.8 **“Republic”** Republic of South Africa

2. PURPOSE OF PAIA MANUAL

This PAIA Manual is useful for the public to-

- 2.1 check the categories of records held by a body which are available without a person having to submit a formal PAIA request;
- 2.2 have a sufficient understanding of how to make a request for access to a record of the body, by providing a description of the subjects on which the body holds records and the categories of records held on each subject;
- 2.3 know the description of the records of the body which are available in accordance with any other legislation;
- 2.4 access all the relevant contact details of the Information Officer and Deputy Information Officer who will assist the public with the records they intend to access;
- 2.5 know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
- 2.6 know if the body will process personal information, the purpose of processing of personal information and the description of the categories of data subjects and of the information or categories of information relating thereto;

- 2.7 know the description of the categories of data subjects and of the information or categories of information relating thereto;
- 2.8 know the recipients or categories of recipients to whom the personal information may be supplied;
- 2.9 know if the body has planned to transfer or process personal information outside the Republic of South Africa and the recipients or categories of recipients to whom the personal information may be supplied; and
- 2.10 know whether the body has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

3. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION OF DU PREEZ FINANCIAL SERVICES

3.1. Chief Information Officer

FSCA LICENCE #46066

Name: Wayne Du Preez
Tel: 031 942 7273
Email: wayne@dupreezfs.co.za
Fax number: 0864711340

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3.2 Access to information general contacts

Email: wayne@dupreezfs.co.za

3.3 National or Head Office

Postal Address: 13 Forest grove
9 Keynsham Avenue
Somerset Park, Umhlanga

Durban
4319

Physical Address: 13 Forest grove
9 Keynsham Avenue
Somerset Park, Umhlanga
Durban
4319

Telephone: 031 942 7273

Email: wayne@dupreezfs.co.za

Website: www.dupreezfs.co.za



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4. GUIDE ON HOW TO USE PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE

4.1. The Regulator has, in terms of section 10(1) of PAIA, as amended, updated and made available the revised Guide on how to use PAIA (“Guide”), in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in PAIA and POPIA.

4.2. The Guide is available in each of the official languages and in braille.

4.3. The aforesaid Guide contains the description of-

4.3.1. the objects of PAIA and POPIA;

4.3.2. the postal and street address, phone and fax number and, if available, electronic mail address of-

4.3.2.1. the Information Officer of every public body, and

4.3.2.2. every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA¹ and section 56 of POPIA²;

4.3.3. the manner and form of a request for-

4.3.3.1. access to a record of a public body contemplated in section 11³; and

4.3.3.2. access to a record of a private body contemplated in section 50⁴;

4.3.4. the assistance available from the IO of a public body in terms of PAIA and POPIA;

4.3.5. the assistance available from the Regulator in terms of PAIA and POPIA;

4.3.6. all remedies in law available regarding an act or failure to act in respect of a right or duty conferred or imposed by PAIA and POPIA, including the manner of lodging-

4.3.6.1. an internal appeal;

4.3.6.2. a complaint to the Regulator; and

4.3.6.3. an application with a court against a decision by the information officer of a public body, a decision on internal appeal or a

¹ Section 17(1) of PAIA- *For the purposes of PAIA, each public body must, subject to legislation governing the employment of personnel of the public body concerned, designate such number of persons as deputy information officers as are necessary to render the public body as accessible as reasonably possible for requesters of its records.*

² Section 56(a) of POPIA- *Each public and private body must make provision, in the manner prescribed in section 17 of the Promotion of Access to Information Act, with the necessary changes, for the designation of such a number of persons, if any, as deputy information officers as is necessary to perform the duties and responsibilities as set out in section 55(1) of POPIA.*

³ Section 11(1) of PAIA- *A requester must be given access to a record of a public body if that requester complies with all the procedural requirements in PAIA relating to a request for access to that record; and access to that record is not refused in terms of any ground for refusal contemplated in Chapter 4 of this Part.*

⁴ Section 50(1) of PAIA- *A requester must be given access to any record of a private body if-*

- a) *that record is required for the exercise or protection of any rights;*
- b) *that person complies with the procedural requirements in PAIA relating to a request for access to that record; and*
- c) *access to that record is not refused in terms of any ground for refusal contemplated in Chapter 4 of this Part.*

decision by the Regulator or a decision of the head of a private body;

4.3.7. the provisions of sections 14⁵ and 51⁶ requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;

4.3.8. the provisions of sections 15⁷ and 52⁸ providing for the voluntary disclosure of categories of records by a public body and private body, respectively;

4.3.9. the notices issued in terms of sections 22⁹ and 54¹⁰ regarding fees to be paid in relation to requests for access; and

4.3.10. the regulations made in terms of section 92¹¹.

4.4. Members of the public can inspect or make copies of the Guide from the offices of the public and private bodies, including the office of the Regulator, during normal working hours.

4.5. The Guide can also be obtained-

4.5.1. upon request to the Information Officer;

⁵ Section 14(1) of PAIA- The information officer of a public body must, in at least three official languages, make available a manual containing information listed in paragraph 4 above.

⁶ Section 51(1) of PAIA- The head of a private body must make available a manual containing the description of the information listed in paragraph 4 above.

⁷ Section 15(1) of PAIA- The information officer of a public body, must make available in the prescribed manner a description of the categories of records of the public body that are automatically available without a person having to request access

⁸ Section 52(1) of PAIA- The head of a private body may, on a voluntary basis, make available in the prescribed manner a description of the categories of records of the private body that are automatically available without a person having to request access

⁹ Section 22(1) of PAIA- The information officer of a public body to whom a request for access is made, must by notice require the requester to pay the prescribed request fee (if any), before further processing the request.

¹⁰ Section 54(1) of PAIA- The head of a private body to whom a request for access is made must by notice require the requester to pay the prescribed request fee (if any), before further processing the request.

¹¹ Section 92(1) of PAIA provides that –“The Minister may, by notice in the Gazette, make regulations regarding-

- (a) any matter which is required or permitted by this Act to be prescribed;
- (b) any matter relating to the fees contemplated in sections 22 and 54;
- (c) any notice required by this Act;
- (d) uniform criteria to be applied by the information officer of a public body when deciding which categories of records are to be made available in terms of section 15; and
- (e) any administrative or procedural matter necessary to give effect to the provisions of this Act.”

4.5.2. from the website of the Regulator (<https://www.justice.gov.za/inforeg/>).

4.6 A copy of the Guide is also available in the following two official languages, for public inspection during normal office hours-

4.6.1 IsiZulu and English

5. CATEGORIES OF RECORDS OF DU PREEZ FINANCIAL SERVICES WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS

The following categories of records are automatically available for inspection and do not need to be requested in terms of PAIA: Product brochures, any other information that is published on the website at www.dupreezfs.co.za

Below is an example of the table that can be used.

Category of records	Types of the Record	Available on Website	Available upon request
Conflict of interest management policy	Policy	x	x
Complaints procedure	Procedure	x	x
FAIS advertising disclosure	Disclosure document	x	x
Personal information Processing consent	Consent form	x	x
Privacy policy	Policy	x	x

6. DESCRIPTION OF THE RECORDS OF DU PREEZ FINANCIAL SERVICES WHICH ARE AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

NB: Please specify all the records which are created and available in accordance with any of the South African legislation. Below is an example of the table that can be used in describing the records and applicable legislation.

Category of Records	Applicable Legislation
Memorandum of incorporation	Companies Act 71 of 2008
Documents of incorporation / Founding Statement	Companies Act 71 of 2008
Records relating to the appointment of directors/ auditor/ secretary/ public officer / accounting officers	Companies Act 71 of 2008
Share Register and other statutory registers	Companies Act 71 of 2008
PAIA Manual	Promotion of Access to Information Act 2 of 2000
RMCP	Financial Intelligence Centre Act, 2001
Ledgers, cashbooks, journals, bank statements, deposit slips, invoices and other books of accounts.	Income Tax Act and VAT Act
Copies of Collective agreements, arbitration awards or determinations in terms of the BCEA	Labour Relations Act
Names and occupations of employees Job descriptions Date on which employment commenced Working hours Remuneration particulars Leave provisions Notice periods	Basic Conditions of Employment Act
Records of remuneration paid, tax which was deducted, and UIF contributions.	Unemployment Insurance Act

7. DESCRIPTION OF THE SUBJECTS ON WHICH THE BODY HOLDS RECORDS AND CATEGORIES OF RECORDS HELD ON EACH SUBJECT BY DU PREEZ FINANCIAL SERVICES

Subjects on which the body holds records	Categories of records
Strategic Documents, Plans, Proposals	Annual Reports, Strategic Plan, Annual Performance Plan.
Human Resources	<ul style="list-style-type: none"> - HR policies and procedures - Advertised posts - Employees records
Companies Act records	<ul style="list-style-type: none"> - Documents of incorporation / Founding Statement -Memorandum of Incorporation -Records relating to the appointment of directors/ auditor/ secretary/ public officer / accounting officers - 5. Share Register and other statutory registers
Financial records	<ul style="list-style-type: none"> -Annual Financial Statements -Tax Returns -Accounting Records -Banking Records -Bank Statements -Paid Cheques -Electronic banking records - Asset Register - Rental Agreements - 10. Invoices
Income tax records	<ul style="list-style-type: none"> -PAYE Records -Documents issued to employees for income tax purposes - Records of payments made to SARS -All other statutory compliances: -VAT -Regional Services Levies -Skills Development Levies -UIF -Workmen’s Compensation
Personnel documents and records	<ul style="list-style-type: none"> -Employment contracts -Medical Aid records -Pension Fund records -Disciplinary records

Subjects on which the body holds records	Categories of records
	-Salary records -SETA records -Disciplinary code -Leave records - Training records -Training Manuals
Marketing	-Market Information -Public Customer Information: -Product Brochures -Owner Manuals -Performance Records -Product Sales Records -Marketing Strategies -Customer Database

8. PROCESSING OF PERSONAL INFORMATION

8.1 Purpose of Processing Personal Information

Du Preez Financial services collects and processes personal information for the following reasons

- *To provide clients with a service which they have requested from FSP.*
- *To communication with data subjects.*
- *For the provision of services to data subjects.*
- *Preparing financial needs analyses and reports.*
- *To provide financial planning service and process requests in line with personal portfolio.*
- *To assess the suitability of advice and recommendations of products*
- *Meeting legal obligations equity and to comply with other applicable laws*

8.2 Description of the categories of Data Subjects and of the information or categories of information relating thereto

Categories of Data Subjects	Personal Information that may be processed
Customers / Clients	name, address, registration numbers or identity numbers, employment status and bank details, income tax numbers, drivers licence number
Service Providers	names, registration number, vat numbers, address, trade secrets and bank details
Employees	address, qualifications, gender and race, identity number, banking details

8.3 The recipients or categories of recipients to whom the personal information may be supplied

NB: Specify the person or category of persons to whom the body may disseminate personal information. Below is an example of the category of personal information which may be disseminated and the recipient or category of recipients of the personal information.

Category of personal information	Recipients or Categories of Recipients to whom the personal information may be supplied
Identity number and names, for criminal checks	South African Police Services and Beeswax/V Reports
Qualifications, for qualification verifications	South African Qualifications Authority and Beeswax/V Reports
Credit and payment history, for credit information	Credit Bureaus
Identity number, licence number, residential address for quoting	Various Product providers

8.4 Planned transborder flows of information

8.4.1. Du Preez financial services will in instances where a client has requested services from the following service providers be required to transfer information across the border.

- VFS international
- Momentum wealth international
- INN8 Global

Category of personal information	Recipients of transborder flows of information and country in which they are located
Identity number, names, banking details, residential and postal address, tax number, contact details, Copies of Identity documents, bank statements.	VFS International - Mauritius
Identity number, names, banking details, residential and postal address, tax number, contact details, Copies of Identity documents, bank statements.	Momentum Wealth international – Guernsey Channel Islands
Identity number, names, banking details, residential and postal address, tax number, contact details, Copies of Identity documents, bank statements.	INN8 Global – Jersey Channel Islands

8.4.2. If Du Preez financial services transfers personal information outside of South Africa, The FSP will make sure that the information is protected in the same way as if it was being used in South Africa. Du Preez Financial services will use one of the following safeguards:

- Transfer to another country whose privacy legislation ensures an adequate level of protection of personal information similar or equivalent to South Africa or;
- Put in place a contract with the third-party that means they must protect personal information to the same standards as South Africa.

8.5 General description of Information Security Measures to be implemented by the responsible party to ensure the confidentiality, integrity and availability of the information

Du Preez financial services takes extensive information security measures to ensure the confidentiality, integrity, and availability of personal information in our possession. The FSP takes appropriate technical and organisational measures designed to ensure that personal data remains confidential and secure against unauthorised or unlawful processing and against accidental loss, destruction, or damage.

9. AVAILABILITY OF THE MANUAL

9.1 A copy of the Manual is available-

9.1.1 on www.dupreezfs.co.za

9.1.2 The head office of Du Preez Financial services for public inspection during normal business hours.

9.1.3 to any person upon request and upon the payment of a reasonable prescribed fee; and

9.1.4 to the Information Regulator upon request.

9.2 A fee for a copy of the Manual, as contemplated in annexure B of the Regulations, shall be payable per each A4-size photocopy made.

10. UPDATING OF THE MANUAL

The head of a Du Preez Financial Services will on a regular basis update this manual.

Issued by



Wayne du Preez

Director



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