



Promotion of Access to Information Act Manual

Alexander Forbes Group Holdings Limited and its subsidiary companies

This manual applies to the following companies:

Company name	Registration number
Alexander Forbes Acquisition Proprietary Limited	2006/023218/07
Alexander Forbes Administration Services Proprietary Limited	1972/000632/07
Alexander Forbes Emerging Markets Proprietary Limited	1997/004662/07
Alexander Forbes Direct Proprietary Limited	2007/018501/07
Alexander Forbes Fiduciary Services Limited	1920/002057/06
Alexander Forbes Financial Planning Consultants Proprietary Limited	1995/012764/07
Alexander Forbes Financial Services Proprietary Limited	1969/018487/07
Alexander Forbes Funding Proprietary Limited	2006/024950/07
Alexander Forbes Group Services Proprietary Limited	2014/043524/07
Alexander Forbes Health Proprietary Limited	2007/015447/07
Alexander Forbes Individual Client Administration Proprietary Limited	2007/015632/07
Alexander Forbes Insurance Company Limited	1976/001547/06
Alexander Forbes Life Limited	1997/022561/06
Alexander Forbes Limited	1958/001974/06
Alexander Forbes Nominees Proprietary Limited	1988/005546/07
Alexander Forbes Retail Client Administration Proprietary Limited	2010/007532/07
Caveo Fund Solutions Proprietary Limited	2003/017504/07
GMA Subsidiary Trading 15 Proprietary Limited	1963/004736/07
Alexander Forbes Investments Administrative Services Proprietary Limited	2005/043273/07
Alexander Forbes Investments Limited	1997/000595/06
Alexander Forbes Investments Offshore Funds (S) Limited	2000/027208/06
Alexander Forbes Investments Trustee Company Proprietary Limited	2000/027207/07
Alexander Forbes Investments Unit Trusts Limited	2001/015776/06
Seniors' Finance Proprietary Limited	2005/039721/07
Seniors' Finance Security SPV Proprietary Limited	2007/019770/07

Prepared in accordance with Section 51 of the
Promotion of Access to Information Act, No. 2 of 2000
(The Act)

DJ de Villiers
Group Chief Executive
Updated 31 January 2019



Contents

		Page
Introduction		
Definitions		
Part I	Contact details	2
Part II	The Act	3
Part III	Records of Alexander Forbes	3
Part IV	Access to records and procedure	7
Part V	Decision	8
Part VI	Grounds for refusal of access to records	9
Part VII	Remedies available when an institution refuses a request for information	10
Part VIII	Availability of the manual	10
Appendix 1	Fees	11
Appendix 2	Legislation and records that are freely available	12
Appendix 3	Request form	16

1. Introduction

1.1. General

Section 32(1)(a) of the Constitution of the Republic of South Africa Act 108 of 1996 (hereinafter referred to as 'the Constitution') provides that everyone has a right of access to any information held by the state and any information held by another person that is required for the exercise or protection of any rights.

The Promotion of Access to Information Act 2 of 2000 (hereinafter referred to as 'PAIA', or 'the Act' interchangeably) is the national legislation which was enacted to give effect to the constitutional right of access to information. PAIA came into operation on 9 March 2001, with the exception of sections 10, 14, 15 and 51, which came into operation on 15 February 2002.

1.2. Purpose of the manual

This manual is compiled not only to comply with the provisions of the Act, but is also intended to:

- foster a culture of transparency and accountability by giving effect to the right to information that is required for the exercise or protection of any right
- actively promote a society in which the people of South Africa have effective access to information to enable them to more fully exercise and protect their rights

The manual will enable you to view the categories of information available.

2. Definitions

Client	Any natural or juristic entity that receives services from Alexander Forbes
Employee	Forbes, and receives or is entitled to receive remuneration and any other person who assists in carrying out or conducting the business of Alexander Forbes. This includes, without limitation, directors (executive and non-executive), all permanent, temporary and part-time staff, as well as contract workers.
Information officer	A person or persons acting on behalf of Alexander Forbes and who is responsible for discharging the duties and responsibilities assigned to the head of Alexander Forbes as prescribed in terms of this Act and includes a deputy information officer.
Alexander Forbes	Alexander Forbes Equity Holdings (Pty) Ltd, subsidiary companies and/or any of the companies that form part of the Alexander Forbes group of companies.
Organisation	Alexander Forbes
Other requester	Any requester other than a personal requester
Personal requester	A requester who is seeking to access a record containing personal information about that requester
Requester	Any person making a request for access to a record that is under the control of Alexander Forbes.
Third party	Any natural or juristic person other than the requester, or, such party acting on behalf of the requester, or Alexander Forbes itself.

Part I

3. Contact details

3.1 The Chief Executive

Postal address: PO Box 787240
Sandton, 2146

Physical address: Alexander Forbes
115 West Street
Sandown, Sandton 2196

Tel: +27 (0)11 269 0000

Email: AGGroupCoSec@aforbes.com

3.2

The information officer can also be contacted at the details below.

3.3 General information

Name of private body: Alexander Forbes Group Holdings Limited

Registration number: 2006/025226/06

Postal address: PO Box 787240
Sandton, 2146

Physical address: Alexander Forbes
115 West Street
Sandown, 2196

Tel: +27 (0)11 269 0000

Website: www.alexanderforbes.co.za

Email address: info@aforbes.com

Part II

4. The Act

- 4.1 The Act grants a requester access to records of a private body, if the record is required for the exercise or protection of any rights. If a public body lodges a request, the public body must be acting in the public interest.
- 4.2 Requests in terms of the Act must be made in accordance with the prescribed procedures, at the rates provided. The forms and tariff are dealt with in paragraphs 6 and 7 of the Act.
- 4.3 Requesters are referred to the guide in terms of Section 10, compiled by the South African Human Rights Commission (SAHRC), which will contain information for the purposes of exercising constitutional rights. The guide is available from the SAHRC.
The contact details of the commission are:

Postal address:	Private Bag 2700, Houghton, 2041
Telephone number:	+27 (0)11 877 3600
Fax number:	+27 (0)11 403 0625
Website:	www.sahrc.org.za

Part III

5. Records of Alexander Forbes

This clause serves as a reference to the records that may be accessed by request from Alexander Forbes.

It is recorded that the accessibility of the documents listed in Appendix 2 may be subject to the grounds of refusal set out hereinafter.

5.1 Personnel records

- 5.1.1 Personal records provided by an employee
- 5.1.2 Records provided by a third party relating to employees
- 5.1.3 Conditions of employment and other personnel-related contractual and quasi legal records
- 5.1.4 Internal evaluation records and other internal records
- 5.1.5 Correspondence relating to personnel
- 5.1.6 Training records and material
- 5.1.7 Employment equity plans

5.2 Client-related records

- 5.2.1 Records provided by a client to a third party acting for or on behalf of Alexander Forbes
- 5.2.2 Records provided by a third party
- 5.2.3 Records generated by or within Alexander Forbes relating to its clients, including transactional records
- 5.2.4 Records provided to Alexander Forbes by the client

5.3 Records relating to Alexander Forbes

	Records	Subject	Availability
5.31	Public and investor relations	a. Investor corporate releases	1
		b. Media releases	1
5.3.2	Financial matters	a. Financial statements	1, 12
		b. Tax, VAT and PAYE records (company and employees)	12
		c. Accounting and banking records	12
		d. Invoices	12
		e. Asset register	12
		f. Management accounts	12
5.3.3	Company secretarial and legal	a. Statutory records not available at CIPC	12
		b. Minutes and related meeting information	12
		c. Records of executive, board and shareholder decisions taken and related documentation	1, 12
		d. Documents of incorporation	1
		e. Trademark information	1
		f. General contract documentation	6, 12
5.3.4	Marketing division	a. Market information	12, 13
		b. Public customer information	1
		c. Performance and sales records	12, 2
		d. Marketing strategies	12
		e. Customer databases	12
		f. Brand-related information	12
5.3.5	Human resources	a. Employee or staff records	4, 5, 9
		b. Employment contracts	4, 5

		c. Policies and procedures	4
		d. Health and safety records	4, 5, 8
		e. Employment equity plan	12
5.3.6	Information technology	a. Project plans	12
		b. Policies and procedures	12
		c. Disaster recovery	12
		d. IT governance records	12
		e. Licensing and procurement	12

These records include, but are not limited to, the records which pertain to Alexander Forbes's own affairs.

Key

1	May be disclosed	Publicly accessible
2	May not be disclosed	Request after the commencement of legal proceedings (criminal or civil) – Section 7
3	May be disclosed	Subject to copyright
4	Limited disclosure	Personal information that belongs to the requester of the information – Section 61
5	May not be disclosed	Unreasonable disclosure
6	May not be disclosed	Likely to harm the commercial or financial interests of third party – Section 64(a)(b)
7	May not be disclosed	Likely to harm the company or third party in contract or other negotiations – Section 64(c)
8	May not be disclosed	Would breach a duty of confidence owed to a third party in terms of an agreement – Section 65
9	May not be disclosed	Likely to compromise the safety of individuals or protection of property – Section 66
10	May not be disclosed	Legally privileged document – Section 67
11	May not be refused	Environmental testing; investigation which reveals public safety; environmental risks – Section 64(2) and Section 68(2)
12	May not be disclosed	Commercial information of private body – Section 68
13	May not be disclosed	Likely to prejudice research and development information of the company or a third party – Section 69
14	May not be refused	Disclosure in public interest – Section 70

5.4 Other records

- 5.4.1 Alexander Forbes may possess records pertaining to other parties, including without limitation contractors, suppliers, subsidiary or holding or sister companies, joint venture companies, and service providers. Alternatively, such other parties may possess records that can be said to belong to Alexander Forbes.
- 5.4.2 Personnel, client and other records relating to Alexander Forbes which are held by another party, as opposed to the records held by Alexander Forbes itself;
- 5.4.3 Records held by Alexander Forbes pertaining to other parties, including without limitation, financial records, correspondence, contractual records, records provided by the other party, and records third parties have provided about the contractors or suppliers.

5.5 Records available in terms of legislation and records that are freely available

A requester may request access to information, which is available in terms of other legislation. Please refer to Appendix 2 for a detailed list of those records available in terms of such other legislation.

Part IV

6. Access to records and procedure

Records held by Alexander Forbes may be accessed by the requester only once the prerequisite requirements for access have been met.

6.1 Who may request information

Any person who requires information for the exercise or protection of any rights may request information from a private body. Section 50 of the Act states that a requester must be given access to any record of a private body if:

- 6.1.1 that record is required for the exercise or protection of any rights
- 6.1.2 that person complies with the procedural requirements in this Act relating to a request for access to that record, and
- 6.1.3 access to that record is not refused in terms of any ground for refusal contemplated in Chapter 4, Part 3 of the Act

6.2 Two types of requesters

6.2.1 Personal requester

Alexander Forbes will voluntarily provide the requested information, or give access to any record with regard to the requester's personal information without the requester having to pay an access fee. However, the prescribed fee for reproduction of the information requested will be charged.

6.2.2 Other requester

This requester (other than a personal requester) is entitled to request access to information on third party or parties. However, Alexander Forbes is not obliged to voluntarily grant access. The requester must fulfil the prerequisite requirements for access in terms of the Act, including the payment of a request and access fee.

7. Form of request

To facilitate the processing of your request, kindly:

- 7.1 Use the prescribed form C, available on the website of the South African Human Rights Commission at www.sahrc.org.za (a copy is also included for your ease of reference).
- 7.2 Address your request to the company secretary.
- 7.3 Provide sufficient details to enable the company to identify:
 - 7.3.1 The record or records requested
 - 7.3.2 The identity of the requester and such person acting on behalf of the requester where applicable
 - 7.3.3 The form of access required
 - 7.3.4 The telephone number, postal address or fax number of the requester in the Republic of South Africa
 - 7.3.5 Whether the requester wishes to be informed of the decision in any manner (in addition to written) the manner and particulars thereof
 - 7.3.5 The right which the requester is seeking to exercise or protect with an explanation of the reason the record is required to exercise or protect the right
- 7.6 The institution will process the request within 30 days. Unless the request contains considerations that are of such a nature that an extension of the 30-day time limit is necessitated.
- 7.7 Where an extension of the 30-day time limit is required, the requester must be notified, together with reasons explaining why such extension is necessitated.

- 7.8 The requester must be informed whether access granted or denied. If, in addition, a requester who requires the reasons for the decision in any other manner must state the manner and the particulars so required.
- 7.9 If a request is made on behalf of another person, then the requester must submit proof of the capacity in which the requester is making the request to the reasonable satisfaction of the information officer.
- 7.10 If an individual is unable to complete the prescribed form because of illiteracy or disability, such a person may make the request orally.
- 7.11 The requester must pay the prescribed fee before any further processing can take place.

8. Fees

- 8.1 The Act provides for two types of fees, namely:
 - 8.1.1 A request fee, which will be a standard non-refundable administration fee, payable prior to the request being considered; and
 - 8.1.2 An access fee, payable when access is granted, which must be calculated by taking into account reproduction costs, search and preparation time and cost, as well as postal costs.
- 8.2 When the request is received, the information officer must by notice require the requester, excluding a personal requester, to pay the prescribed request fee (if any), before further processing of the request.
- 8.3 If the search for the record has been made and the preparation of the record for disclosure, including arrangement to make it available in the requested form, requires more than the hours prescribed in the regulations for this purpose, the information officer must notify the requester to pay as a deposit the prescribed portion of the Access fee which would be payable if the request is granted.
- 8.4 The information officer must withhold a record until the requester has paid the fees as indicated in Appendix 1.
- 8.5 A requester whose request for access to a record has been granted must pay an access fee for reproduction and for search and preparation, and for any time reasonably required in excess of the prescribed hours to search for and prepare the record for disclosure, including making arrangements to make it available in the request form.
- 8.6 If a deposit has been paid for a request for access, which is refused, then the information officer concerned must repay the deposit to the requester.

Third parties

If the request pertains to a third party, the information officer must take all reasonable steps to inform that third party of the request within 21 days of receipt of the request. The third party may within 21 days thereafter either make representation as to why the request should be refused, or grant written consent to disclosure. The third party must be advised of both the decision taken and of their right to appeal against the decision by way of application to court within 30 days after the notice.

Part V

9. Decision

- 9.1 Alexander Forbes will, within 30 days of receipt of the request, decide whether to grant or decline the request and give notice with reasons (if required) to that effect. The information officer will take all reasonable steps to find a record that has been requested. If the record cannot be found or does not exist, the information officer must notify the requestor by way of affidavit or affirmation that it is not possible to give access to the record. This is deemed to be a refusal of the request. If, however, the record is later found, the requestor must be given access if the request would otherwise have been granted.
- 9.2 The 30-day period with which Alexander Forbes has to decide whether to grant or refuse the request, may be extended for a further period of not more than 30 days if the request is for a large number of information, or the request requires a search for information held at another office of Alexander Forbes and the information cannot reasonably be obtained within the original 30-day period. Should an extension be given, Alexander Forbes will notify the requester in writing and will also provide the procedure involved should the requestor wish to apply to court against the extension.

- 9.3 If the request is:
 - 9.3.1 Granted: the notification must state the applicable access fee required to be paid, together with the procedure to be followed should the requestor wish to apply to court against such fee, and the form in which access will be given.
 - 9.3.2 Declined: the notification must include adequate reasons for the decision, together with the relevant provisions of the Act relied upon, and provide the procedure to be followed should the requestor wish to apply to court against the decision.
- 9.4 The Information Officer's failure to respond to the requestor within the 30-day period constitutes a deemed refusal of the request.
- 9.5 Section 59 provides that the information officer may sever a record and grant access only to that portion which the law does not prohibit access to.
- 9.6 If access is granted, access must be given in the form that is reasonably required by the requestor, or if the requestor has not identified a preference, in a form reasonably determined by the information officer.

Part VI

10. Grounds for refusal of access to records

The main grounds for Alexander Forbes to refuse a request for information relates to the:

- 10.1 Mandatory protection of the privacy of a third party who is a natural person, which would involve the unreasonable disclosure of personal information of that natural person
- 10.2 Mandatory protection of the commercial information of a third party, if the record contains:
 - 10.2.1 trade secrets of that third party
 - 10.2.2 the disclosure of financial, commercial, scientific or technical information which could likely cause harm to the financial or commercial interests of that third party
 - 10.2.3 information disclosed in confidence by a third party to Alexander Forbes, if the disclosure could put that third party at a disadvantage in negotiations or commercial competition
- 10.3 Mandatory protection of confidential information of third parties if it is protected in terms of any agreement
- 10A Mandatory protection of the safety of individuals and the protection of property
- 10.5 Mandatory protection of records which would be regarded as privileged in legal proceedings
- 10.6 The research information of Alexander Forbes or a third party, if its disclosure would place the research at a serious disadvantage
- 10.7 The commercial activities of Alexander Forbes, which may include, without limitation:
 - 10.7.1 trade secrets of Alexander Forbes
 - 10.7.2 the disclosure of financial, commercial, scientific or technical information which could likely cause harm to the financial or commercial interests of Alexander Forbes
 - 10.7.3 information which, if disclosed could put Alexander Forbes at a disadvantage in negotiations or commercial competition
 - 10.7.4 a computer program which is owned by Alexander Forbes, and which is protected by copyright
- 10.8 Requests for information that are clearly frivolous or vexation, or which involve an unreasonable diversion of resources must be refused.

Notwithstanding the above, disclosure is mandatory where it would reveal a contravention of or failure to comply with the law, or imminent and serious public safety or environmental risk and the public.

Part VII

11. Remedies available when an institution refuses a request for information

11.1 Internal remedies

Alexander Forbes does not have internal appeal procedures. For this reason, the decision made by the information officer is final, and requestors will have to exercise such external remedies at their disposal if the request for information is refused, and the requestor is not satisfied with the answer supplied by the information officer.

11.2 External remedies

A requestor that is dissatisfied with an information officer's refusal to disclose information may, within 30 days of notification of the decision, apply to a court for relief.

Likewise, a third party dissatisfied with an information officer's decision to grant a request for information may, within 30 days of notification of the decision, apply to a court for relief.

For purposes of the Act, the courts that have jurisdiction over these applications are the Constitutional Court, the High Court or another court of similar status.

Part VIII

12. Availability of the manual

12.1 The manual of Alexander Forbes will be available on the website of Alexander Forbes at www.alexanderforbes.co.za.

12.2 Copies of this manual can also be freely obtained at the Alexander Forbes head offices at 115 West Street, Sandton, Gauteng, South Africa.

Appendix 1: Fees

Reproduction fees

Where a private body has voluntarily provided the Minister with a list of categories of records that will automatically be made available to any person requesting access thereto, the only charge that may be levied for obtaining such records will be a fee for reproduction of the record in question.

The applicable fees for reproduction as referred to above are:

	R
• For every photocopy of an A4-size page or part thereof	1.10
• For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form	0.75
• For a copy in a computer-readable form on: Stiffy disc	7.50
• Compact disc	70.00
• A transcription of visual images, for an A4-size page or part thereof	40.00
• For a copy of visual images	60.00
• A transcription of an audio record, for an A4-size page or part thereof	20.00
• For a copy of an audio record	30.00
• To search for a record that must be disclosed, or part of an hour reasonably required for such search	R30.00 per hour

Where a copy of a record needs to be posted, the actual postal fee is payable.

Request fees

Where a request is made for access to information on a person other than that requester, a request fee in the amount of R50,00 is payable up-front before Alexander Forbes will further process the request received.

Access fees

An access fee is payable in all instances where access is granted, unless payment of an access fee is specially excluded in terms of the Act or an exclusion is determined by the Minister in terms of Section 54 (8).

Deposits

Where Alexander Forbes receives a request for access to information on a person other than that requester and the information officer upon receipt of the request is of the opinion that the preparation of the required record of disclosure will take more than six hours, a deposit is payable by the requester.

The amount of the deposit is equal to one-third of the amount of the applicable access fee.

Note: In terms of Regulation 8, value-added tax (VAT) must be added to all fees prescribed in terms of the regulations.

Appendix 2: Legislation and records that are freely available

LEGISLATION	PRODUCTS AND SERVICES	COMPANY RECORDS	SUBJECTS ON WHICH RECORDS ARE HELD	RECORDS IN RESPECT OF SUBJECTS
<ul style="list-style-type: none"> Administration of Estates Act 66 of 1965 Basic Conditions of Employment Act 75 of 1997 Broad Based Black Economic Empowerment Act Close Corporations Act 69 of 1984 Collective investment Schemes Control Act 45 of 2002 Companies Act 61 of 2008 Compensation for Occupational Injuries and Diseases Act 130 of 1993 Competition Act 89 of 1998 Constitution of the Republic of South Africa Consumer Protection Act Copyright Act Custody and Administration of Securities Act 85 of 1992 Direct Marketing Association Code of Conduct 	<ul style="list-style-type: none"> Administration or retirement annuities and pension funds Actuarial and consulting services to the group retirement industry AF Life Stage range Caveo portfolio range Corporate risk solutions, volume and affinity services, UMA and binder services, Admed Employment benefits, credit life insurance, funeral benefits Equity portfolio range Equity portfolio range Financing of annual insurance premium Financing of annual premium Fixed income portfolio range Global portfolio range Healthcare products 	<ul style="list-style-type: none"> Client services Actuarial All records kept in terms of the company laws of South Africa Annual financial statements BEE certification and documentation Brokers (retail) Client care Compliance-related standards Directors Distribution Economic research Employees External companies or contractors 	<ul style="list-style-type: none"> Actuaries Third-party suppliers Administration houses (on outsourced functions) Advisers Auditors Banking institutions Board members Cell financial records Claims bordereaux Claims handling agreement Clients 	<ul style="list-style-type: none"> Administration Actuarial records - possible and limited Broker agreements – possible and limited Broking and claims information Business information Commercial information Confidential information – possible and limited Contracts and mandates External company information – possible and limited Financial information Group company incorporation Group or company departments – possible and limited Group, company divisions or business units (amended from internal group or company divisions – existing point)

LEGISLATION	PRODUCTS AND SERVICES	COMPANY RECORDS	SUBJECTS ON WHICH RECORDS ARE HELD	RECORDS IN RESPECT OF SUBJECTS
<ul style="list-style-type: none"> Divorce Act Electronic Communications and Transactions Act 25 of 2002 Employment Equity Act 55 of 1998 Exchange Control Act FAIS (Financial Advisory and Intermediary Services Act 37 of 2002) Financial Advisory Intermediary Act 37 of 2005 Financial Intelligence Centre 38 of 2001 Financial Services Board Act 97 of 1990 Financial Services Laws General Amendments Act Financial Services Act of 2001 Health Professions Act Income Tax Act 58 of 1962 Financial Markets Act 19 of 2012 Inspection of Financial Institutions Act 80 of 1998 Insurance Laws Amendment Act ISO 9000:2008 standards 	<ul style="list-style-type: none"> Institutional clients Investment and risk products to group and schemes Linked investments services Linked policy Living annuity Long-term insurance products Managed care services to the healthcare industry Multi-class portfolio range Multi-asset portfolio range New-generation products Niche portfolio Personalised portfolio plan Physical and financial risk management Real return portfolio range Real return portfolio range Savings products 	<ul style="list-style-type: none"> FAIS representatives and complaints registers Financial statements and supporting documentation Human resources Information technology and databases Insurance companies Internal correspondence Investor information Legal opinions Legislation Library Licensing agreements and certificates Marketing material Monthly economic data Non-disclosure agreements Operational records Operations, records and information required in terms of various applicable pieces of legislation 	<ul style="list-style-type: none"> Consultants Correspondences Directors Dividend requests and payments Employees External companies and/or contractors FAIS register Fidelity guarantee FPC FSP licence Insurers Investment mandate agreement Investors 	<ul style="list-style-type: none"> Group or company financial – possible and limited Group or company incorporation – possible and limited Group or company structures Internal group or company divisions – possible and limited Official, legal or licenses (amended from official or legal – existing point) Operational manuals Personal information Policies Research documents Risk management reports Shareholder certificates – possible and limited Strategy – possible and limited Trade information – possible and limited

LEGISLATION	PRODUCTS AND SERVICES	COMPANY RECORDS	SUBJECTS ON WHICH RECORDS ARE HELD	RECORDS IN RESPECT OF SUBJECTS
<ul style="list-style-type: none"> • 'King Report on Governance for South Africa', and the 'King Code of Governance Principles' (King III). • Labour Relations Act 66 of 1995 • Labour Relations Act 66 of 1995 • Long-Term Insurance Act 52 of 1998 • Medical Schemes Act 131 of 1998 • National Credit Act 34 of 2005 • Occupational Health and Safety Act 85 of 1993 • Pension Funds Act 24 of 1956 • Prescription Act 68 of 1969 • Prevention and Combating of Corrupt Activities Act • Prevention of Organised Crime Act 21 of 1998 • Promotion of Access to information Act 2 of 2000 • Protection of Constitutional Democracy Against Terrorist and Related Activities Act • Protection of Personal Information Bill of 2008 • Regulation of Interception of Communications and Provision of Communication- 	<ul style="list-style-type: none"> • Short-term claims administration services • Short-term policy administration services • Single manger portfolios • Specialist portfolio range • Trust services • Underwriting management services • Unit trust products • Wealth creator 	<ul style="list-style-type: none"> • Organisational structures • Procurement • Product information and records • Product management • SA national accreditation system (DTI) certificate • Service level agreements • Social responsibility reports and projects • Statement of actuarial value of assets and liability • Statutory company information • Statutory reports • Vendor contracts 	<ul style="list-style-type: none"> • Joint ventures • KYC documentation • Monthly statements • Ombudsman complaints • Personal • Policy wording • Premium invoices • Professional indemnity • Reinsurers • Service level agreement • Share certificates • Shareholders 	

LEGISLATION	PRODUCTS AND SERVICES	COMPANY RECORDS	SUBJECTS ON WHICH RECORDS ARE HELD	RECORDS IN RESPECT OF SUBJECTS
<p>related Information Act 2002</p> <ul style="list-style-type: none"> • SAIA Code of Conduct • Securities Services Act 36 of 2004 • Short Term Insurance Act 53 of 1998 • Skills Development Levies Act 9 of 1999 • Stamp Duties Act 77 of 1968 • Tobacco Products Amendment Act • Trademarks Act 194 of 1993 • Trust Property Control Act • Unemployment Insurance Act 63 of 2001 • Unit Trusts Control Act 54 of 1981 • Value Added Tax Act 89 of 1991 			<ul style="list-style-type: none"> • Subsidiary companies • Suppliers and service providers 	

Appendix 3: Request form

J752



REPUBLIC OF SOUTH AFRICA

FORM C
REQUEST FOR ACCESS TO RECORD OF PRIVATE BODY
(Section 53(1) of the Promotion of Access to Information Act, 2000 (Act 2 of 2000))
[Regulation 10]

A. Particulars of private body
The Head:

B. Particulars of person requesting access to the record

- | |
|--|
| (a) Give the particulars of the person who requests access to the record below.
(b) List the address or fax number, or both, in the Republic to which the information is to be sent.
(c) Attach proof of the capacity in which the request is made, if applicable. |
|--|

Full names and surname: _____

Identity number: _____

Postal address: _____

Telephone number: (.....)..... Fax number: (.....).....

Email address: _____

Capacity in which request is made when it is made on behalf of another person: _____

C. Particulars of person on whose behalf request is made

This section must be completed **only** if a request for information is made on behalf of another person.

Full names and surname: _____

Identity number: _____

D. Particulars of record

- (a) Provide full particulars of the record to which access is requested, including the reference number if that is known to you, to enable the record to be located.
- (b) If the provided space is inadequate, please continue on a separate folio and attach it to this form. The requester must sign all the additional folios.

1. Description of record or relevant part of the record:

2. Reference number, if available:

3. Any further particulars of record:

E. Fees

- (a) A request for access to a record, other than a record containing personal information about yourself, will be processed only after a request fee has been paid.
- (b) You will be notified of the amount required to be paid as the request fee.
- (c) The fee payable for access to a record depends on the form in which access is required and the reasonable time required to search for and prepare a record.
- (d) If you qualify for exemption of the payment of any fee, please state the reason for exemption.

Reason for exemption from payment of fees:

F. Form of access to record

If you are prevented by a disability to read, view or listen to the record in the form of access provided for in 1 to 4 below, state your disability and indicate in which fund the record is required.

Disability:	Fund in which record is required:
Mark the appropriate box with an X.	
NOTES:	
(a) Compliance with your request for access in the specified fund may depend on the fund in which the record is available.	
(b) Access in the fund requested may be refused in certain circumstances. In such a case you will be informed if access will be granted in another fund.	
(c) <u>The fee payable for access to the record, if any, will be detained partly by the fund in which access is requested.</u>	

1. If the record is in written or printed form:				
	copy of record*		inspection of record	
2. If record consists of visual images (which include photographs, slides, video recordings, computer-generated images, sketches, and so on)				
	view the images		copy of the images*	transcription of the images*
3. If record consists of recorded words or information which can be reproduced in sound:				
	listen to the soundtrack (audio cassette)		transcription of soundtrack* (written or printed document)	
4. If record is held on computer or in an electronic or machine-readable form:				
	printed copy of record*		printed copy of intonation derived from the record*	copy in computer- readable fund*

*If you requested a copy or transcription of a record (above), do you wish the copy or transcription to be posted to you? Postage is payable.	Yes	No
--	-----	----

G. Particulars of right to be exercised or protected

If the provided space is inadequate, please continue on a separate folio and attach it to this form.
The requester must sign all the additional folios.

1. Indicate which right is to be exercised or protected:

2. Explain why the record requested is required for the exercise or protection of the aforementioned right:

H. Notice of decision regarding request for access

You will be notified in writing whether your request has been approved or denied. If you wish to be informed in another manner, please specify the manner and provide the necessary particulars to enable compliance with your request.

How would you prefer to be informed of the decision regarding your request for access to the record?

Signed at this day of year

Signature of requester or
person on whose behalf the request is made