

PAIA MANUAL

Private Body (Section 51, PAIA)

1. Private Body Details

Name: Specialised Broker Services (Pty) Ltd

Registration No.: 2014/095284/07

FSP No.: 44654

Physical Address: 99 Merriman Street, GEORGE, 6529

Postal Address: 99 Merriman Street, GEORGE, 6530

Website: www.specialisedbrokerservices.co.za

2. Information Officer

Information Officer: Edwin Mousley

Position: Director

Email: ed@sbsbrokers.co.za

Telephone: 044 874 5594

Deputy Information Officer (if appointed): Tammy Roberts

3. Purpose of this Manual

This manual explains how records may be requested from the Company under PAIA, identifies the categories of records held, provides the prescribed POPIA information, and describes the request process.

4. Information Regulator Guide

The PAIA Guide published by the Information Regulator is available from www.inforegulator.org.za.

5. Records Automatically Available

- Website information
- Marketing brochures
- Product information
- General contact details

6. Categories of Records Held

Corporate: MOI, Board resolutions, Policies, Compliance manuals

Financial: Annual financial statements, Accounting records, Tax and VAT records

Human Resources: Employment contracts, Payroll, Leave and training records

Client: Mandates, Records of Advice, Needs analyses, Policy schedules, Claims files, FICA/KYC records, Correspondence

Suppliers: Contracts, Invoices, Service agreements

Compliance: Complaints register, Conflict of Interest Register, CPD/Fit and Proper records, Binder agreements

7. Records Held in Terms of Other Legislation

- Companies Act
- Income Tax Act
- VAT Act
- FAIS Act
- FICA
- Basic Conditions of Employment Act
- Labour Relations Act
- Employment Equity Act
- COIDA
- POPIA
- PAIA

8. Processing of Personal Information (POPIA)

- Categories of data subjects: clients, employees, suppliers, contractors.
- Categories of information: identity, contact, financial, insurance and claims information.
- Purpose: providing services, legal compliance, FICA, underwriting, claims, administration and communication.
- Recipients: insurers, underwriters, assessors, attorneys, regulators, auditors and authorised service providers.
- Cross-border transfers only where lawful.
- Reasonable technical and organisational security safeguards are maintained.
- Records are retained in accordance with legal and operational requirements and securely destroyed when no longer required.

9. Request Procedure

Requests must be made on the prescribed PAIA Form 2 and submitted to the Information Officer. The requester must identify the record sought and, where applicable, the right to be exercised or protected. Prescribed fees may apply.

10. Grounds for Refusal

- Protection of personal information
- Commercial confidentiality
- Legal privilege
- Third-party confidential information
- Any other ground permitted by PAIA

11. Fees

Fees payable are those prescribed in the current PAIA Regulations. Personal requesters are not liable for the request fee.

12. Availability and Review

This manual is available from the Information Officer and, where applicable, on the Company's website. It will be reviewed periodically and updated when required.

ANNEXURE A – Information Officer Details

Private Body: Specialised Broker Services (Pty) Ltd

Registration Number: 2014/095284/07

FSP Number: 44654

Information Officer

Name: Edwin Mousley

Position: Director

Physical Address: 99 Merriman St. GEORGE, 6529

Postal Address: 99 Merriman St. GEORGE, 6529

Telephone: 044 874 5594

Email: ed@sbsbrokers.co.za

Website: www.specialisedbrokerservices.co.za

Deputy Information Officer (if appointed)

Name: Tammy Roberts

Position: Broker

Telephone: (0)44 874 5594

Email: tammy@sbsbrokers.co.za

Office Hours:

Monday–Friday, 08:30–16:30

ANNEXURE B – PAIA Fee Schedule

Description	Fee
Request fee (excluding personal requester)	R140.00
Photocopy (A4)	R2.00/page
Printed copy (A4)	R1.50/page
Flash drive (requester supplied)	R40.00
Compact disc (requester supplied)	R40.00
Compact disc (private body supplied)	R60.00
Audio transcription	R24.00/A4 page
Search and preparation	R145.00/hour or part
Maximum search fee	R300.00
Deposit (>6 hour search)	One-third of estimated overall fee
Postage/Courier	Actual cost

FORM 2

REQUEST FOR ACCESS TO RECORD

[Regulation 7]

NOTE:

1. Proof of identity must be attached by the requester.
2. If requests made on behalf of another person, proof of such authorisation, must be attached to this form.

TO: The Information Officer

(Address)

E-mail address:

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Fax number:

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Mark with an "X"

☐

Request is made in my own name

☐

Request is made on behalf of another person.

PERSONAL INFORMATION				
Full Names				
Identity Number				
Capacity in which request is made (when made on behalf of another person)				
Postal Address				
Street Address				
E-mail Address				
Contact Numbers	Tel. (B):		Facsimile: <table border="1"><tr><td></td></tr></table>	
Cellular:				
Full names of person on whose behalf request is made (if applicable):				
Identity Number				
Postal Address				

Street Address			
E-mail Address			
Contact Numbers	Tel. (B)		Facsimile
	Cellular		
PARTICULARS OF RECORD REQUESTED <i>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. (If the provided space is inadequate, please continue on a separate page and attach it to this form. All additional pages must be signed.)</i>			
Description of record or relevant part of the record:			
Reference number, if available			
Any further particulars of record			
TYPE OF RECORD <i>(Mark the applicable box with an "X")</i>			
Record is in written or printed form			
Record comprises virtual images <i>(this includes photographs, slides, video recordings, computer-generated images, sketches, etc)</i>			
Record consists of recorded words or information which can be reproduced in sound			
Record is held on a computer or in an electronic, or machine-readable form			

FORM OF ACCESS <i>(Mark the applicable box with an "X")</i>	
Printed copy of record <i>(including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form)</i>	
Written or printed transcription of virtual images <i>(this includes photographs, slides, video recordings, computer-generated images, sketches, etc)</i>	
Transcription of soundtrack <i>(written or printed document)</i>	
Copy of record on flash drive <i>(including virtual images and soundtracks)</i>	
Copy of record on compact disc drive <i>(including virtual images and soundtracks)</i>	
Copy of record saved on cloud storage server	

MANNER OF ACCESS <i>(Mark the applicable box with an "X")</i>	
Personal inspection of record at registered address of public/private body <i>(including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form)</i>	
Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format <i>(including transcriptions)</i>	
E-mail of information <i>(including soundtracks if possible)</i>	
Cloud share/file transfer	
Preferred language <i>(Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available)</i>	

PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED <i>If the provided space is inadequate, please continue on a separate page and attach it to this Form. The requester must sign all the additional pages.</i>	
Indicate which right is to be exercised or protected	

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

FEES	
a)	<i>A request fee must be paid before the request will be considered.</i>
b)	<i>You will be notified of the amount of the access fee to be paid.</i>
c)	<i>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.</i>
d)	<i>If you qualify for exemption of the payment of any fee, please state the reason for exemption</i>
Reason	

You will be notified in writing whether your request has been approved or denied and if approved the costs relating to your request, if any. Please indicate your preferred manner of correspondence:

Postal address	Facsimile	Electronic communication (Please specify)

Signed at _____ this _____ day of _____ 20 _____

Signature of Requester / person on whose behalf request is made

FOR OFFICIAL USE

Reference number:	
Request received by: (State Rank, Name And Surname of Information Officer)	
Date received:	
Access fees:	
Deposit (if any):	

Signature of Information Officer