



# GENFIN

Registration Number: 2016/212828/07

## Manual

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In terms of Section 51 of

## The Promotion of Access to Information Act 2 of 2000 ("PAIA")

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Incorporating additional requirements of

## The Protection of Personal Information Act 4 of 2013 ("POPIA")

*(Collectively referred to as "the Acts")*

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## 1 Introduction

GENFIN (Pty) Ltd (herein after referred to as “the Company” and/or “GENFIN”) is a private company and conducts business as a lender by assisting the small to medium enterprise (“SME”) market across South Africa with affordable business loans of up to R5 million.

Copies of this manual are available for inspection, free of charge, at the registered offices of the Company or can be downloaded from the website of the Company.

## 2 Contact Details

*(As required in terms of Section 51(1)(a) of PAIA)*

Directors:	Mr J Erasmus, Mr JP Haveman, Mrs ACD Marais, Mrs S van der Walt Mr HVDM Scholtz
Information Officer:	Mrs ACD Marais <a href="mailto:dorethegenfin.co.za">dorethegenfin.co.za</a>
Deputy Information Officer:	Ms D Venter <a href="mailto:debraegenfin.co.za">debraegenfin.co.za</a>
Physical/Postal Address:	1st Floor, Building B, Farm 1, Vineyard Office Estate 99 Jip de Jager Drive, De Bron Cape Town Western Cape 7530
Registered Address:	Same as Physical Address
Telephone Number:	0800 436346
Fax Number:	None
Website:	<a href="http://www.genfin.co.za">www.genfin.co.za</a>
Registration Number:	2016/212828/07

## 3 The Acts

*(As required in terms of Section 51(1)(b) of PAIA)*

The Promotion to Access to Information Act 2 of 2000 (“PAIA”) was enacted on 3 February 2000, giving effect to the constitutional right of access to any information held by the state and any information that is held by another person and that is required for the exercise or protection of any rights. Where a request is made in terms of PAIA, the body to whom the request is made is obliged to release the information, except where PAIA expressly provides that the information may or must not be released. PAIA sets out the requisite procedural issues attached to such request. PAIA is read in conjunction with the Protection of Personal Information Act 4 of 2013 (“POPIA”).

POPIA was enacted to promote the protection of personal information processed by public and private bodies and introduces minimum conditions for the lawful processing of personal information, an obligation on Information Officers of public and private bodies to designate and delegate any power or duty to Deputy Information Officers, and compulsory requirements for registration of Information Officers with the Information Regulator.

PAIA grants a requester access to records of a private body if the record is required for the exercise of or protection of any rights. If a public body lodges a request, the public body must be acting in the public interest. Requests in terms of the Acts shall be made in accordance with the prescribed procedures, at the rates provided in the Acts. Requesters are referred to the Guide in terms of Section 10 of PAIA which has been compiled by the Information Regulator which will contain information for the purposes of exercising Guide is available from the Information Regulator and can be requested from GENFIN. Constitutional Rights.

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**Requesters can also contact the Information Regulator for any queries:**

Postal Address:	P.O. Box 31533, Braamfontein, Johannesburg, 2017
Physical Address:	JD House, 27 Stiemens Street, Braamfontein, Johannesburg
Complaints:	complaints.IR@justice.gov.za
General Enquiries:	inforeg@justice.gov.za
Website:	Contact - TRAINING SITE (inforegulator.org.za)

#### **4 Information Officer's General Responsibilities under POPIA**

The Information Officer's general responsibilities are as follows:

- To encourage and ensure the Company's compliance with POPIA;
- Dealing with information access requests pursuant to POPIA; and
- Working with the Information Regulator in relation to investigations conducted in terms of POPIA.

#### **5 Form of Request**

##### **5.1 How to Attend to a Request**

The request must comply with all the procedural requirements contained in the Acts relating to the request for access to a record. To facilitate the processing of your request, kindly:

- The form can also be found on the Information Regulator's website; or
- Alternatively, use the form annexed hereto as Annexure "A".
- Address your request to the Information Officer.
- Provide sufficient details to enable the Company to identify:
  - The record(s) requested.
  - The requester (and if an agent is lodging the request, proof of capacity).
  - The form of access required.
  - The postal address and/or email of the requested in the Republic.
  - If the requester wishes to be informed of the decision in any manner (in addition to written correspondence via postal address and/or email), the manner and particulars thereof.
    - The right which the requested is seeking to exercise or protect with an explanation of the reason the record is required to exercise or protect the right.

## 5.2 Processing of a Request

### Completion of the prescribed form

A request for access to a record must be made to the Information Officer. This request must be made to the address, fax number or electronic mail address set out in this manual. Such requests must be made by means of the form attached hereto as **Annexure A**.

A request for access to information which does not comply with the formalities as prescribed by PAIA will be returned to you.

POPIA provides that a data subject may, upon proof of identity, request GENFIN to confirm, free of charge, all the information it holds about the data subject and may request access to such information, including information about the identity of third parties who have or have had access to such information.

POPIA also provides that where the data subject is required to pay a fee for services provided to him/her, GENFIN must provide the data subject with a written estimate of the payable amount before providing the service and may require that the data subject pays a deposit for all or part of the fee.

Grounds for refusal of the data subject's request are set out in PAIA and are discussed below.

POPIA provides that a data subject may object, at any time, to the processing of personal information by GENFIN, on reasonable grounds relating to his/her particular situation, unless legislation provides for such processing. The data subject must complete the prescribed form attached hereto as **Annexure B** and submit it to the Information Officer at the postal or physical address, facsimile number or electronic mail address set out above.

A data subject may also request GENFIN to correct or delete personal information about the data subject in its possession or under its control that is inaccurate, irrelevant, excessive, out of date, incomplete, misleading or obtained unlawfully; or destroy or delete a record of personal information about the data subject that GENFIN is no longer authorised to retain records in terms of POPIA's retention and restriction of records provisions.

A data subject that wishes to request a correction or deletion of personal information or the destruction or deletion of a record of personal information must submit a request to the Information Officer at the postal or physical address, facsimile number or electronic mail address set out above in this manual by means of the form attached hereto as **Annexure C**.

## 5.3 Grounds of Refusal of a Request

Access to certain records may be or must be denied as set out in Sections 63 – 69 of PAIA. This includes:

- Mandatory protection of privacy of a third party who is a natural person, including a deceased person, where such disclosure of Personal Information would be unreasonable.
- Mandatory protection of commercial information of a third party, if the records contain:
  - Trade secrets of that third party.
  - Financial, commercial, scientific or technical information of the third party, the disclosure of which would likely cause harm to the financial or commercial interests of that third party.
  - Information disclosed in confidence by a third party to the Company, the disclosure of which could put that third party at a disadvantage in contractual or other negotiations or prejudice the third party in commercial competition.
- Mandatory protection of certain confidential information of a third party if it is protected in terms of any agreement.
- Mandatory protection of safety of individuals and protection of property.
- Mandatory protection of records privileged from production in legal proceedings.
- Protection of the commercial information of a private body, which may include:
  - trade secrets.
  - financial/commercial, scientific or technical information, the disclosure of which could likely cause harm to the financial or commercial interests of the Company.
  - Information which, if disclosed, could put the Company at a disadvantage in contractual or other negotiations or prejudice the Company in commercial competition.
  - Computer programs which are owned by the Company, and which are protected by copyright and intellectual property laws.
- Mandatory protection of research information of a third party and protection of research information of a private body.
- Research information of the Company or a third party if such disclosure would place the research or the researcher at a serious disadvantage.
- Requests for Records that are clearly frivolous or vexatious, or which involve an unreasonable diversion of resources.

#### 5.4 Remedies available to the Requester

If the Company has denied access to certain records, the requester can utilise remedies stipulated in PAIA (section 56) as the Company does not have an internal appeal procedure. Accordingly, the decision made by the Information Officer will be deemed final.

### 6 Schedule of Records

No notice has been published to date in terms of Sections 51(1)(c) and 52(1) of the Act. The Schedule of Records as contained in Annexure "D" details the records that are held and/or processed by the Company for the purposes of PAIA and POPIA, respectively. Access to some of the records may not be granted if they are subject to the grounds of refusal which are specified in paragraph 5.3 above.

### 7 Applicable Legislation

The Company retains records which are required in terms of the Acts. There is certain legislation that provides that private bodies shall allow access to relevant records upon request. The said legislation that may be consulted to establish whether the requester has a right of access to a record, other than in terms of the procedure set out in PAIA, are indicated in Annexure "E".

Although we have used our best endeavours to supply a list of applicable legislation, it is possible that this list may be incomplete. Whenever it comes to our attention that existing or new legislation allows a requester access on a basis other than as set out in PAIA, we shall update the list accordingly. If a requester believes that a right of access to a record exists in terms of other legislation listed above or any other legislation, the requester is required to indicate what legislative right the request is based on, to allow the Information Officer the opportunity of considering the request in light thereof.

### 8 Prescribed Fees

The Act provides for two types of fees, namely:

- A request fee, which is a form of administration fee to be paid by all requesters except personal requesters, before the request is considered. The request fee is not refundable; and
- An access fee, which is paid by all requesters in the event that a request for access is granted. This fee is inclusive of costs involved by the Private Body in obtaining and preparing a record for delivery to the requester.

When the request is received by the Information Officer, such officer shall by notice require the requester, other than a personal requester, to pay the prescribed request fee, before further processing of the request (section 54(1)).

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 shall notify the requester to pay, as a deposit, the prescribed portion of the access fee which would be payable if the request is granted.

The Information Officer shall withhold a record until the requester has paid the fees as indicated below.

A requester whose request for access to a record has been granted, must pay an access fee that is calculated to include, where applicable, the request fee, the process 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.

If a deposit has been paid in respect of a request for access, which is refused, then the Information Officer concerned must repay the deposit to the requester.

**Reproduction Fees:**

<b>Item</b>	<b>Description</b>	<b>Amount</b>
1.	The request fee payable by every requester	R140.00
2.	Photocopy/printed black & white copy of A4-size page	R2.00 per page or part thereof.
3.	Printed copy of A4-size page	R2.00 per page or part thereof.
4.	For a copy in a computer-readable form on: (i) Flash drive (to be provided by requestor) (ii) Compact disc <ul style="list-style-type: none"> <li>• If provided by requestor</li> <li>• If provided to the requestor</li> </ul>	R40.00 R40.00 R60.00
5.	For a transcription of visual images per A4-size page	Where services require to be outsourced: the cost will be dependent on the service provider fee.
6.	Copy of visual image	
7.	Transcription of an audio record, per A4-size page	R24.00
8.	Copy of an audio record on: (i) Flash drive (to be provided by requestor) (ii) Compact disc <ul style="list-style-type: none"> <li>• If provided by requestor</li> <li>• If provided to the requestor</li> </ul>	R40.00 R40.00 R60.00
9.	To search for and prepare the record for disclosure for each hour or part of an hour, excluding the first hour, reasonably required for such search and preparation. To not exceed a total cost of	R145.00 R435.00
10.	Deposit: If search exceeds 6 hours	One third of amount per request calculated in terms of items 2 to 8.
11.	Postage, e-mail or any other electronic transfer	Actual expense, if any.

**Access Fees:**

An access fee is payable in all instances where a request for access to information is granted, except in those instances where 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).

The applicable access fees which will be payable are:

<b>Item</b>	<b>Cost per A4-size page or part thereof/item</b>	<b>Number of pages/items</b>	<b>Total</b>
Photocopy	As per access fee table per point 16.1 above		
Printed copy			
Printed copy of A4-size page			
For a copy in a computer-readable form on: (i) Flash drive • To be provided by requestor (ii) Compact disc • If provided by requestor • If provided to the requestor	R40.00  R40.00 R60.00		
For a transcription of visual images per A4-size page	Where services require to be outsourced: the cost will be dependent on the service provider fee.		
Copy of visual images			
Transcription of an audio record, per A4-size	R24.00		
Copy of an audio record: (i) Flash drive • To be provided by requestor (ii) Compact disc • If provided by requestor • If provided to the requestor	R40.00  R40.00 R60.00		
Postage, e-mail or any other electronic transfer	Actual costs		
<b>TOTAL:</b>			

- A requester is required to pay the prescribed fees (R50.00) in terms of the Act before a request will be processed.
- The requester must request the banking details of the Company from the Information Officer to attend to payment and must provide proof of said payment to the Information Officer.
- If the preparation of the records requested requires more than the prescribed hours (six), a deposit shall be paid (of not more than one third of the access fee which would be payable if the request were granted).
- A requestor may lodge an application with a court against the tender/payment of the request fee and/or deposit.
- Records may be withheld until the fees have been paid.
- The fee structure is available on the website of the SAHRC



## 9 Processing of Personal Information in terms of POPIA

The Company takes privacy and the protection of Personal Information seriously and will only process information in accordance with POPIA.

The Company requires Personal Information which relates to both individuals (natural persons) and juristic entities in order to carry out its business, contractual and organisational functions.

### 9.1 Purpose of Processing

The Company processes Personal Information which includes but is not limited to the following purposes:

- To render a service to our clients.
- Providing or managing any information relating to our services.
- Maintaining client records.
- Employee administration.
- Lead Provider / Broker administration.
- General administration.
- Financial and tax purposes.
- Legal purposes.
- Health and safety purposes.
- Managing of rental premises.
- Investigating and preventing of fraud.
- Debt recovery.
- Website access / enquiries.

### 9.2 Types of Personal Information held by GENFIN

*Kindly refer to Annexure "D".*

### 9.3 Sharing, Processing and Protection of Personal Information

*Please refer to the Company's Privacy Policy as found on the Company's website.*

## 10 Compliance Framework

### 10.1 How we implement, monitor and maintain our Compliance Framework

The manner in which Personal Information is processed and the purpose for which it is processed is determined by the Company. The Company is accordingly a Responsible Party for the purposes of POPIA and will ensure that the Personal Information of a Data Subject:

- Is processed lawfully, fairly and transparently. This includes the provision of appropriate information to Data Subjects when their data is collected by the Company, in the form of privacy or data collection notices. The Company must also have a legal basis (for example, consent) to process Personal Information.
- Is processed only for the purposes for which it was collected.
- Will not be processed for a secondary purpose unless that processing is compatible with the original purpose.
- Is adequate, relevant and not excessive for the purposes for which it was collected.
- Is accurate and kept up to date.
- Will not be kept for longer than necessary.
- Is processed in accordance with integrity and confidentiality principles; this includes physical and organisational measures to ensure that Personal Information, in both physical and electronic form, are subject to an appropriate level of security when stored, used and communicated by the Company, in order to protect against access and acquisition by unauthorised persons and accidental loss, destruction or damage.
- Is processed in accordance with the rights of Data Subjects, where applicable. Data Subjects have the right to:
  - Be notified that their Personal Information is being collected by the Company. The Data Subject also has the

right to be notified in the event of a data breach.

- Know whether the Company holds Personal Information about them, and to access that information. Any request for information must be handled in accordance with the provisions of this Manual.
- Request the correction or deletion of inaccurate, irrelevant, excessive, out of date, incomplete, misleading or unlawfully obtained personal information.
- Object to the Company's use of their Personal Information and request the deletion of such Personal Information (deletion would be subject to the Company's record keeping requirements).
- Object to the processing of Personal Information for purposes of direct marketing by means of unsolicited electronic communications.
- Complain to the Information Regulator regarding an alleged infringement of any of the rights protected under POPIA and to institute civil proceedings regarding the alleged non-compliance with the protection of his, her or its personal information.

## **11 Description of Information Security Measures**

The Company utilises up to date technology to ensure the confidentiality, integrity, and availability pertaining to the Personal Information under its care. Measures include:

- Virus protection software and up-to-date protocols.
- Access control (e.g. access to server rooms only with key or chip card, office rooms secured with alarm, firewalls, Bring-Your-Own Device ("BYOD") controls).
- Data integrity (e.g. user authorisations are restricted to specific tasks).
- Data encryption (e.g. cloud solution with encryption).
- Transmission control (e.g. using SSL certificate for websites).
- Confidentiality enforcement (e.g. password policies, non-disclosure agreements).
- Recoverability support (e.g. backups that are regularly checked for successful recovery).
- Training (e.g. privacy awareness training, information security training).

## **12 Electronic Storage**

The Company may transfer data trans-border to store data with third-party cloud storage providers. The Company may share some or all customer information with parent companies, subsidiaries, or other companies under common control with the Company. When processing of Personal Information is carried out in other countries, the Company will take appropriate steps to ensure the provision of a similar or a better level of protection of clients' Personal Information as that which is required in terms of South African law.

## **13 Personal Information Impact Assessment**

The Company performs a Personal Information Impact Assessment ("PIIA") as part of deploying new features and functionality. PIIA is done to make sure that adequate measures and standards exist to comply with the conditions for the lawful processing of Personal Information.

## **14 Internal Measures for the Processing of Requests for Information and/or Access thereto**

The Company implements Internal Information Security Policies which controls user access to inter alia information, password management, and security awareness.

## **15 Internal Awareness Sessions**

This manual, together with any other internal policies which the Company might have and which relates to the processing, accessing and utilization of Personal Information, will be provided to every employee of the Company. The Company also attends to regular information sessions with the employees to update, make aware or remind its employees on the importance of keeping Personal Information safe.

**ANNEXURE "A": REQUEST FORM**

**FORM 2: REQUEST FOR ACCESS TO RECORD**

**REQUEST FOR ACCESS TO RECORD**

[Regulation 7]

Note:

1. Proof of identity must be attached by the requester.

If requests made on behalf of another person, proof of such authorisation, must be attached to this form.

TO: The information officer

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*(Address)*

E-mail address: \_\_\_\_\_

Fax number: \_\_\_\_\_

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 <i>(when made on behalf of another person)</i> :	
Postal Address:	
Street Address:	
E-mail Address	
Contact numbers: Tel. (B): Cellular: Facsimile	
Full names of person on whose behalf request is made <i>(if applicable)</i> :	
Identity number:	

Postal Address:	
Street Address:	
E-mail Address:	
Contact numbers: Tel. (B): Cellular: Facsimile	
<b>PARTICULARS OF RECORD REQUESTED</b> 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.)	
Description of record or relevant part of the record:	
Reference number, if available:	
Any further particulars of record:	

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

<b>MANNER OF ACCESS</b> (Mark the applicable box with an "X")	
Personal inspection of record at registered address of public/private body (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)	
Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format (including transcriptions)	
E-mail of information (including soundtracks if possible)	
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>	
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<b>PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED</b>	
<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:	

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

Signed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_

\_\_\_\_\_  
Signature of requester / person on whose behalf request is made

**ANNEXURE “B”: OBJECTION**

**OBJECTION TO THE PROCESSING OF PERSONAL INFORMATION IN TERMS OF SECTION 11(3) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)**

**REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2018**

[Regulation 2]

Note:

1. *Affidavits or other documentary evidence as applicable in support of the objection may be attached.*
2. *If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*
3. *Complete as is applicable.*

A	DETAILS OF DATA SUBJECT
Name(s) and surname/ registered name of data subject:	
Unique Identifier/ Identity Number	
Residential, postal or business address:	
	Code (     )
Contact number(s):	
Facsimile / E-mail address:	
B	DETAILS OF RESPONSIBLE PARTY
Name(s) and surname/ Registered name of responsible party:	
Residential, postal or business address:	
	Code (     )
Contact number(s):	
Facsimile / E-mail address:	
C	REASONS FOR OBJECTION IN TERMS OF SECTION 11(1)(d) to (f) <i>(Please provide detailed reasons for the objection)</i>

Signed at ..... this ..... day of .....20.....

.....  
*Signature of data subject/designated person*

## ANNEXURE “C”: REQUEST FOR CORRECTION

### REQUEST FOR CORRECTION OR DELETION OF PERSONAL INFORMATION OR DESTROYING OR DELETION OF RECORD OF PERSONAL INFORMATION IN TERMS OF SECTION 24(1) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)

#### REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2018

[Regulation 3]

Note:

1. *Affidavits or other documentary evidence as applicable in support of the request may be attached.*
2. *If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*
3. *Complete as is applicable.*

Mark the appropriate box with an “x”.

#### Request for:

- Correction or deletion of the personal information about the data subject which is in possession or under the control of the responsible party.
- Destroying or deletion of a record of personal information about the data subject which is in possession or under the control of the responsible party and who is no longer authorised to retain the record of information.

A	DETAILS OF THE DATA SUBJECT
Name(s) and surname / registered name of data subject:	
Unique identifier/ Identity Number:	
Residential, postal or business address:	
	Code (    )
Contact number(s):	
Fax number/E-mail:	
B	DETAILS OF RESPONSIBLE PARTY
Name(s) and surname / registered name of responsible party:	
Residential, postal or business address:	
	Code (    )
Contact number(s):	
Facsimile / E-mail:	
C	INFORMATION TO BE CORRECTED/DELETED/ DESTROYED/ DESTROYED

<b>D</b>	<p><b>REASONS FOR *CORRECTION OR DELETION OF THE PERSONAL INFORMATION ABOUT THE DATA SUBJECT IN TERMS OF SECTION 24(1)(a) WHICH IS IN POSSESSION OR UNDER THE CONTROL OF THE RESPONSIBLE PARTY ; and or</b></p> <p><b>REASONS FOR *DESTRUCTION OR DELETION OF A RECORD OF PERSONAL INFORMATION ABOUT THE DATA SUBJECT IN TERMS OF SECTION 24(1)(b) WHICH THE RESPONSIBLE PARTY IS NO LONGER AUTHORISED TO RETAIN.</b></p> <p><i>(Please provide detailed reasons for the request)</i></p>

Signed at ..... this ..... day of .....20.....

.....  
*Signature of data subject/ designated person*



## ANNEXURE “D”: SCHEDULE OF RECORDS

Records	Subject	Availability
Statutory	Memorandum of Incorporation; Company Registers; Statutory records and returns; Third Party Agreements	To be requested in terms of PAIA.
Financial Information	Financial Statements; Financial and Tax Records (Company and employees); Asset Register; Management Accounts; Other Accounting Records; Banking Details	To be requested in terms of PAIA.
Employee	ID Number; contact details; physical addresses; date of birth; race; age; marital status; disability information; employment history; criminal/background checks; CVs; education history; personal banking details; income tax reference numbers; remuneration and benefit information; any other benefit information (medical aid, pension fund, provident fund); details relating to employee procedures; employee performance details; employee contracts; payroll record; training records; employment history, time and attendance records	To be requested in terms of PAIA.
Suppliers / Service Providers	Entity name; registration number; income tax number; contact details; contractual documentation	To be requested in terms of PAIA.
Directors & Shareholders	Name; Surname; ID Number; financial information as required for statutory reporting	To be requested in terms of PAIA.
Website Visitors	Name; email address; entity name; entity registration number; contact details	To be requested in terms of PAIA.
Marketing	Market Information; Product Brochures; Product Sales Records; Marketing Strategies	Limited information available on website. To be requested in terms of PAIA otherwise.
Customer Information	All information pertaining to client details (customer database) and client financial information.	To be requested in terms of PAIA.
Policies and Terms & Conditions	Privacy Policy; Product and Website Terms and Conditions; Internal policies relating to operations of the Company; System documentation and manuals	Limited information available on website. To be requested in terms of PAIA otherwise.
Other	Lead Provider / Broker details and agreements; Performance records; Environmental, Health & Safety records	To be requested in terms of PAIA.

## ANNEXURE “E”: APPLICABLE LEGISLATION

No	Ref	Act
1	No 75 of 1997	Basic Conditions of Employment Act
2	No 61 of 1973	Companies Act
3	No 130 of 1993	Compensation for Occupational Injuries and Diseases Act
4	No 68 of 2008	Consumer Protection Act
5	No 36 of 2005	Electronic Communications Act
6	No 55 of 1998	Employment Equity Act
7	No 37 of 2002	Financial Advisory and Intermediary Services Act
8	No 38 of 2001	Financial Intelligence Centre Act
9	No 58 of 1962	Income Tax Act
10	No 66 of 1995	Labour Relations Act
11	No 34 of 2005	National Credit Act
12	No 85 of 1993	Occupational Health and Safety Act
13	No 2 of 2000	Promotion of Access to Information Act
14	No 4 of 2000	Promotion of Equality and Prevention of Unfair Discrimination Act
15	No 4 of 2013	Protection of Personal Information Act
16	No 28 of 2011	Tax Administration Act
17	No 63 of 2001	Unemployment Insurance Act
18	No 4 of 2002	Unemployment Insurance Contributions Act
19	No 89 of 1991	Value Added Tax Act



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