

THE
INFORMATION MANUAL IN TERMS OF SECTION 51. OF
THE PROMOTION OF ACCESS TO INFORMATION ACT NO. 2
OF 2000 (PAIA) [as AMENDED]

OF

At The Brokerage (PTY) LTD
Registration No. 2001/005643/07

CONTENTS

1. Introduction to At The Brokerage
2. Contact Details
3. Section 10 Guide on how to use the Act
4. Records available in terms of any other Legislation Applicable to us
5. Access to our records
6. The Procedure to Request our Records
7. Fees Payable for Requesting our Records
8. Other Information
9. Availability of our Manual

INTRODUCTION TO AT THE BROKERAGE (PTY) LTD

This private body is an authorized financial service provider that provides financial advice and renders intermediary services to clients on financial products under a license issued in terms of the Financial Advisory and Intermediary Services Act, Act 37 of 2002. Specializing in Short Term Insurance and registered with the FSB under license number FSB4542.

CONTACT DETAILS

1. Name of Business: At The Brokerage (PTY) Ltd
2. Postal Address: P O Box 21232,
Helderkruin,
1733
3. Street Address: 7 Sandpeer Avenue,
Weltevredenpark,
Gauteng.
4. Telephone Number: +27 11 475 5048
5. Facsimile Number: 086 560 0439
6. Electronic Mail (e-mail): leon@thebrokerage.co.za
7. Head of Organization: Leon Delpont

The SECTION 10 GUIDE on how to use the Act.

The guide is available on the website of the SAHRC.

The guide is also available from the South African Human Rights Commission.
Please direct any queries to:

The South African Human Rights Commission
PAIA Unit
The Research and Documentation Department
Private Bag X2700
Houghton
2041

Telephone Number: +27 11 877 3600
Facsimile Number: +27 11 403 0668
Electronic Mail (e-mail): paia@sahrc.org.za
Website: www.sahrc.org.za

RECORDS AVAILABLE IN TERMS OF ANY OTHER LEGISLATION

NOTE: *There may not be specific records that mention us by name in the records of all or any of the institutions that administer the Acts mentioned below, but the following legislation is applicable to our business;*

The Financial Services Board Act No. 97 of 1990
 The Short Term Insurance Act No. 53 of 1998
 The Financial Institutions (Protection of Funds) Act No. 28 of 2001
 The Financial Advisory and Intermediary Services Act No. 37 of 2002 (FAIS)
 Basic Conditions of Employment Act No. 75 of 1997
 Companies Act No. 71 of 2008
 Compensation for Occupational Injuries and Health Diseases Act No. 130 of 1993
 Consumer Protection Act No. 68 of 2008
 Employment Equity Act No.55 of 1998
 Financial Services Ombud Schemes Act No. 37 of 2004
 Income Tax Act No. 58 of 1962
 Insurance Laws Amendment Act No. 27 of 2008
 Labour Relations Act No. 66 of 1995
 Occupational Health and Safety Act No. 85 of 1993
 Skills Development Act No.97 of 1998
 Skills Development Levies Act No. 9 of 1999
 Unemployment Contributions Act No. 4 of 2002
 Unemployment Insurance Act No. 63 of 2001
 Value Added Tax Act No. 89 of 1991

NOTE: *Certain legislation is not directly applicable to our business, but it impacts on the activities of investors of funds and places a duty of care on the entire Financial Service Industry to ascertain the source of investment funds and in some instances (monies emanating from or subject to money laundering, drugs and drug trafficking, stolen goods, other unlawful activities as well as tax evasion) it imposes an obligation on financial advisers to report the activities of clients to the authorities. The following Acts are applicable:-*

Drug and Drug Trafficking Act No.140 of 1992.
 Prevention of Organized Crime Act No. 121 of 1998
 Financial Intelligence Centre Act N0. 38 of 2001
 Protection of Constitutional Democracy against Terrorist and Related Activities Act No. 33 of 2004

ACCESS TO OUR RECORDS

The latest notice regarding the categories of records of the body, which are available without a person having to request access in terms of this Act in terms of section 52(2):

Not applicable. Some brochures, pamphlets and documents related to the business of the private body are available without cost.

Records that may be requested:

Administration

Licences of product categories (in terms of FAIS Act)
Minutes of management meetings
Minutes of staff meetings
Correspondence

Human Resources

Employment contracts
Remuneration and benefits policies and records
Policies and procedures
Mandates
Training

Operations

Production records
Compliance manual – FAIS
Compliance reports
Complaints procedures
Contractual agreements with suppliers
Procedures manual – FICA
Records of advice
Register of key individuals
Register of representatives
Register of non-compliance
Record of continued compliance by representatives
Register of cancellation of products

Client Register

Personal particulars of clients
Product particulars of clients
Policy details
Premium/contribution details

Finances

Asset registry
Commission Statements (Consolidated and per Producer)
Financial Statements
Accounting and audit records

THE PROCEDURE FOR REQUESTING OUR RECORDS – (ANNEXURE A)

The requester must use the prescribed form to make the request for access to a record. This must be made to our Head of At The Brokerage. This request must be made to our postal address, fax number or e-mail address contained above.

The requester must provide sufficient detail on the request form to enable the Head of At The Brokerage to identify the record and the requester. The requester must also indicate which form of access is required and specify its postal address, fax number or e-mail address in the Republic.

The requester must identify the right that is sought to be exercised or to be protected and provide an explanation as to why the requested record is required for the exercise of that right.

If the request is made on behalf of another person, the requester must submit proof of the capacity in which the requester is making the request to the satisfaction of the Head of At The Brokerage.

FEES PAYABLE FOR REQUESTING OUR RECORDS – (ANNEXURE B)

A requester who seeks access to a record containing personal information about that requester is not required to pay the request fee. Every other requester, who is not a personal requester, must pay the required request fee:

The Head of At The Brokerage must notify the requester (other than a personal requester) by notice, requiring the requester to pay the prescribed fee (if any) before further processing the request.

The requester must pay a fee of R50. The requester may lodge an application to the court against the tender or payment of the request fee.

After the Head of At The Brokerage has made a decision on the request, the requester will be notified in the required form.

If the request is granted, a further access fee must be paid for the search, reproduction, preparation and for any time that has exceeded the prescribed hours to search and prepare the record for disclosure.

OTHER INFORMATION

The Minister of Justice and Constitutional Development has not made any regulations in this regard.

ACCESS TO AND AVAILABILITY OF OUR MANUAL

This Manual is available for inspection free of charge at our physical address as above

Copies are also available with The South African Human Rights Commission.