



Fiscal Private Client Services (Pty) Ltd Manual

Act 2 of 2000, The Promotion of Access to Information

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

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Fiscal Private Client Services (PTY) Ltd is an authorised financial services provider

Block C, Aintree Park, 1 Loch Close, Kenilworth, 7708 | Reg. No: 1963/000032/07 VAT Reg. No: 4640164069

T. +21 671 3175 | E. info@fiscal.co.za | www.fiscal.co.za

Directors: AJG Bradley, J Scherzinger, G van Dyk and KE Brown



1. **INTRODUCTION**

Fiscal Private Client Services (Pty) Ltd offers financial and investment planning services. We are an Authorised Financial Services Provider in terms of the Financial Advisory & Intermediary Services Act. Our FSP licence number is 12895.

2. **COMPANY CONTACT DETAILS**

Persons designated / duly authorised persons

Directors:	Gavin van Dyk (Managing) Kate Brown
Information officer:	Gavin van Dyk
Post address:	Block C, Aintree Park, 1 Loch Close, Kenilworth, 7708
Street address:	Block C, Aintree Park, 1 Loch Close, Kenilworth, 7708
Telephone number:	021 671 3175
Fax number:	021 671 8133
Email:	info@fiscal.co.za
Website:	www.fiscal.co.za

3. **The ACT**

Requesters are referred to the Guide compiled in terms of Section 10 of PAIA by the South African Human Rights Commission. contains information required by a person wishing to exercise any right, contemplated by PAIA. It is available in all of the official languages.

The Guide is available for inspection, *inter alia*, at the office of the offices of the Human Rights Commission and on its website.

The contact details of the Commission are:

Physical Address	29 Princess of Wales Terrace, cnr York and St. Andrews Street, Parktown
Postal Address:	Private Bag 2700, Houghton, 2041
Telephone Number:	+27-11-484 8300
Fax Number:	+27-11-484 0582
Website:	www.sahrc.org.za

4. **AVAILABILITY OF THE MANUAL**

This manual is available for inspection at the offices of Fiscal Private Client Services (Pty) Ltd free of charge. Copies of the manual are available through the following sources:

1. Human Rights Commission
2. Fiscal Private Client Services (Pty) Ltd website – www.fiscal.co.za

5. **VOLUNTARY DISCLOSURE AND AUTOMATIC AVAILABILITY OF CERTAIN RECORDS**

NOTICE IN TERMS OF SECTION 52(2) OF THE ACT: VOLUNTARY DISCLOSURE AND AUTOMATIC AVAILABILITY OF CERTAIN RECORDS

No notice in terms of Section 52(2) of the Act has been published. Certain records are freely available on Fiscal's website www.fiscal.co.za

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6. RECORDS AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

All records kept and made available in terms of legislation applicable to any of the subjects listed in this Manual and the Financial Services Industry in general, as it applies to the specific environment in which the private body operates, are available in accordance with said legislation.

7. CATEGORIES OF RECORDS AND SUBJECTS ON WHICH RECORDS ARE HELD

- | | |
|-------------------------|--|
| i. Commercial and Legal | 1. Contracts and Agreements
2. Minutes & Correspondence
3. Insurance
4. Registration certificates |
| ii. Financial | 1. Financial Results, Analysis & Reports
2. Other Financial |
| iii. Human Resources | 1. Personnel Files
2. Salaries and Wages
3. Staff Recruitment |
| iii. Marketing | 1. Advertising
2. Contracts with Suppliers |
| iv. Client Care | 1. Personal Information |
| v. Operational | 1. Client registry
2. Client transaction records |

8. FORM OF REQUEST

To facilitate the processing of your request, kindly:

- 9.1 Use the prescribed form, available on the website of the SOUTH AFRICAN HUMAN RIGHTS COMMISSION at www.sahrc.org.za, or the website of the DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT (under regulations) at www.doj.gov.za
- 9.2 Send the completed application form to the address above, and mark it for the attention of the Managing Director
- 9.3 Provide sufficient details to enable the COMPANY to identify:
 - a) The record(s) requested;
 - b) The requester (and if an agent is lodging the request, proof of capacity);
 - c) The form of access required;
 - d) (i) The postal address or fax number of the requestor in the Republic;
(ii) if the requester wishes to be informed of the decision in any manner (in addition to written) the manner and particulars thereof;
 - e) 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.

NOTE: Access to certain records may be denied on the grounds set out in the Promotion of Access to Information act, No 2 of 2000. Client records are held in terms of undertakings of confidentiality of clients.

9. PRESCRIBED FEES

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

The following applies to requests other than personal requests:

- 9.1 A requester is required to pay the prescribed fees (R50.00) before the request will be processed;
- 9.2 If the preparation of the record requests 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);
- 9.3 A requestor may lodge an application with a court against the tender/payment of the request fee and/or deposit;
- 9.4 Records may be withheld until the fees have been paid;

The fee structure is available on the website of the SOUTH AFRICAN HUMAN RIGHTS COMMISSION at www.sahrc.org.za, or the website of THE DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT (under regulations) at www.doj.gov.za

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ANNEXURE: Form C

FORM C

REQUEST FOR ACCESS TO RECORD OF PRIVATE BODY
(Section 53(1) of the Promotion of Access to Information Act, 2000
(Act No. 2 of 2000)

[Regulation 10]

A. Particulars of private body

The Head:

B. Particulars of person requesting access to the record

- | | |
|-----|---|
| (a) | The particulars of the person who requests access to the record must be given below. |
| (b) | The address and/or fax number in the Republic to which the information is to be sent must be given. |
| (c) | Proof of the capacity in which the request is made, if applicable, must be attached. |

Full names and surname:

Identity number:

Postal address:

Fax number:

Telephone number:

E-mail address:

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

C. Particulars of person on whose behalf request is made

This section must be completed <i>ONLY</i> if a request for information is made on behalf of <i>another</i> 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:

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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 hereunder, state your disability and indicate in which form the record is required.

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

1. If the record is in written or printed form:			
<input type="checkbox"/>	copy of record*	<input type="checkbox"/>	inspection of record
2. If record consists of visual images this includes photographs, slides, video recordings, computer-generated images, sketches, etc			
<input type="checkbox"/>	view the images	<input type="checkbox"/>	copy of the images*
<input type="checkbox"/>		<input type="checkbox"/>	transcription of the images*
3. If record consists of recorded words or information which can be reproduced in sound:			
<input type="checkbox"/>	listen to the soundtrack audio cassette	<input type="checkbox"/>	transcription of soundtrack* written or printed document
4. If record is held on computer or in an electronic or machine-readable form:			
<input type="checkbox"/>	printed copy of record*	<input type="checkbox"/>	printed copy of information derived from the record"
<input type="checkbox"/>		<input type="checkbox"/>	copy in computer readable form* (stiffy or compact disc)

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FISCAL

'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/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 of20

SIGNATURE OF REQUESTER / PERSON ON
WHOSE BEHALF REQUEST IS MADE

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