



PROMOTION OF ACCESS TO INFORMATION ACT, ACT 2 OF 2000

PAIA Manual

Compiled 2022

Updated October 2023

COMPLIANCE SERVICES

DATA SERVICES

INTERMEDIARY SERVICES

RISK SERVICES

Empowering the Financial Services Industry.

T +27 11 214 0900 E support@astutefse.com P PO Box 2958, Sunninghill, 2157 A Building 2, Corporate Campus, 74 Waterfall Drive, Waterfall City, Waterfall, 2090
www.astutefse.com

The information contained in this document is confidential, privileged and only for the information of the intended recipient and may not be used, published or redistributed without the prior written consent of The Financial Services Exchange (Pty) Ltd

TABLE OF CONTENTS

1	Introduction to Astute	4
2	Information in terms of Section 51	4
3	The section 10 Guide on how to use the Act [Section 51(1)(b)]	4
4	Categories of records	5
5	Records available in terms of any other legislation [Section 51(1)(b)(iii)] Records are kept in accordance with the following legislation	5
6	Access to the records held by the private body in question [Sections 51(1)(b)(iii)]	5
7	Protection of Personal Information [Section 51(1)(c)]	6
8	The request procedures	6
9	Fees	7
10	Availability of the manual [Section 51(3)]	7

PAIA MANUAL
The Financial Services Exchange (Pty)Ltd trading as Astute
("Astute")

**Prepared in accordance with Section 51 of PROMOTION OF ACCESS TO
INFORMATION ACT, ACT 2 OF 2000 and the PROTECTION OF PERSONAL
INFORMATION ACT, Act 4 of 2013**

1 INTRODUCTION TO ASTUTE

Astute FSE was launched in 2000 as a collaborative effort between the major Life Insurers in South Africa. We provide intermediaries with a single point-of-entry to client's investment and insurance portfolio data. We are trusted by more than 20,000 intermediaries and we are fully integrated into the business systems and processes of many Life Insurers in South Africa, with more than 150 integration points. This allows us to keep in line with our strategic objective of providing a Single view of the client. Our service offering includes integrations into regulatory offices and government departments to detect and prevent fraud, as well as assist our clients in complying with legislative requirements.

2 INFORMATION IN TERMS OF SECTION 51

Contact details [Section 51(1)(a)]

Registration number: **1999/025503/07**

Postal address: **PO Box 52115, Saxonwold, 2132**

Street address: **Building 2, Corporate Campus**
74 Waterfall Drive
Waterfall City, 2090

Phone number: **011 214 0900**

Email address: **support@astutefse.com**

Website: **www.astutefse.com**

Data Protection Officer: **mtaylor@astutefse.com**

Name: **Michelle Taylor**

3 THE SECTION 10 GUIDE ON HOW TO USE THE ACT [SECTION 51(1)(B)]

- 3.1 The PAIA 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.
- 3.2 Requests in terms of the PAIA Act shall 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.
- 3.3 The Guide is available from the Astute Compliance Department. Please direct any queries to:

Astute Compliance

Postal address: **PO Box 52115, Saxonwold, 2132**

Telephone: **+ 27 11 214 0900**

Website: **www.astutefse.com**

Email address: **compliance@astutefse.com**

4 CATEGORIES OF RECORDS

Categories of records which are available without a person having to request access in terms of the Act in terms of section 52(2) [Section 51(1)(b)(ii)]

Information or records made available on the Astute website at <https://www.astutefse.com/index.html>

Further categories of information as made available in the Astute Privacy Policy which can be located at <https://www.astutefse.com/resources/privacy-policy.html>

5 RECORDS AVAILABLE IN TERMS OF ANY OTHER LEGISLATION [SECTION 51(1)(B)(III)] RECORDS ARE KEPT IN ACCORDANCE WITH THE FOLLOWING LEGISLATION

- Basic Conditions of Employment No. 75 of 1997
- Companies Act No. 71 of 2008
- Companies Amendment Act No 3 of 2011
- Compensation for Occupational Injuries and Health Diseases Act No.130 of 1993
- Copyright Act No 98 of 1978
- Electronic Communications and Transactions Act No 25 of 2002
- Employment Equity Act No 55 of 1998
- Financial Advisory and Intermediary Services Act No 37 of 2002
- Income Tax Act No. 95 of 1967
- Labour Relations Act No 66 of 1995
- Promotion of Access of Information Act No 2 of 2000
- Skills Development Levies Act No. 9 of 1999
- Skills Development Act No. 97 of 1998
- Unemployment Contributions Act No. 4 of 2002
- Unemployment Insurance Act No. 63 of 2001
- Value Added Tax Act No. 89 of 1991

6 ACCESS TO THE RECORDS HELD BY THE PRIVATE BODY IN QUESTION [SECTIONS 51(1)(B)(III)]

Records that may be requested. A description of the subjects of the records held by the body and the categories in which these subjects are classed [Section 51(1)(b)(iii)]

Administration:

Client profile information such as name, surname, contact details, identification and relevant other information required to fulfill the service to the client.

Marketing:

Contact information where consent has been provided for marketing purposes other than those to fulfill the contract and or service requirements.

Human Resources:

All records kept in terms of legislation applicable to employee labour relations.

Operations:

All records are kept ensuring operational continuance, these include vendor, supplier, contractor, banking institutions, official and legal as well as broker, policy holder, group/company structure, directors, employee information to name a few.

Finances:

Client, vendor/supplier and contractor, employee, and banking information to ensure compliance with all required incoming and outgoing payments. Financial statements, invoices etc.

7 PROTECTION OF PERSONAL INFORMATION [SECTION 51(1)(C)]

Purpose of Processing, Recipients of information and flow of information

Astute collects and uses personal information to: see Astute Privacy Policy at <https://www.astutefse.com/resources/privacy-policy.html>

8 THE REQUEST PROCEDURES

8.1 *Form of Request.*

- 8.1.1 The requester must use the prescribed form available on request from the Compliance department of Astute. This must be sent to the Data Protection Information officer. This request must be made to the address, number or electronic mail address of the body concerned [s 53(1)].
- 8.1.2 The requester must provide sufficient detail on the request form to enable the Information Officer to identify the record and the requester. The requester should also indicate which form of access is required. The requester should also indicate if any other manner is to be used to inform the requester and state the necessary particulars to be so informed [s 53(2)(a) and (b) and (c)].
- 8.1.3 The requester must identify the right that is sought to be exercised or to be protected and provide an explanation of why the requested record is required for the exercise or protection of that right [s 53(2)(d)].
- 8.1.4 If a request is made on behalf of another person, the requester must then submit proof of the capacity in which the requester is making the request to the satisfaction of the Information Officer [s 53(2)(f)].
- 8.1.5 Request forms prescribed by the regulator can also be downloaded on the regulator website. Forms are to be completed and sent to the business Information Officer.

Forms:

The forms can be located at the following locations:

<https://info regulator.org.za/wp-content/uploads/2020/07/InfoRegSA-PAIA-Form02-Reg7.pdf>

<https://info regulator.org.za/wp-content/uploads/2020/07/Form-3-PAIA.pdf>

9 FEES

- 9.1 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:
- 9.2 The Information Officer 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 [s 54(1)].
- 9.3 The fee that the requester must pay to a private body is as described in the PAIA guide . The requester may lodge an application to the court against the tender or payment of the request fee [s 54(3)(b)].
- 9.4 After the Information Officer has made a decision on the request, the requester must be notified in the required form.
- 9.5 If the request is granted then a further access fee must be paid for the search, reproduction, preparation and for any time that has exceeded the prescribed hours (6 hours) to search and prepare the record for disclosure [s 54(6)].
- 9.6 Records may be withheld until the fees have been paid.

10 AVAILABILITY OF THE MANUAL [SECTION 51(3)]

- 10.1 This manual or guide is available from https://www.justice.gov.za/info reg/docs/misc/PAIA-Guide-English_20210905.pdf
- 10.2 Astute Data Protection Officer will update this PAIA Manual at such intervals as may be deemed necessary.