



Tax Risk Underwriting Managers (Pty) Ltd Manual in terms of The Promotion of Access to Information Act 2 of 2000 (PAIA).

10 September 2022

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1. INTRODUCTION

The purpose of this Manual is to tell you what type of information we have, and where applicable help you to access our information and any other information that we have.

2. OUR DETAILS

Our details are as follows:

| | |
|--------------------------|---|
| Registered Company Name: | Tax Risk Underwriting Managers (Pty) Ltd |
| Registration Number: | 2014/086896/07 |
| Date of Incorporation: | 12 May 2014 |
| FSP Number: | 46467 |
| Registered Address: | 152 Bryanston Drive Bryanston Sandton 2191 |
| Postal Address: | P O Box 3108 Northriding, 2162 |
| Telephone: | 086 147 3738 |
| Website: | www.taxrisk.co.za |
| Directors: | Peter de Smidt; Willem Lombaard; Clive Noland; Walter Geach; Melanie Le Roux |

We have appointed one information officer for our company.

| | |
|-----------------------------|---|
| Information Officer | Mr Tshireletso Tlang |
| Business and Postal Address | Same as above |
| Contact details | tshireletso@taxrisk.co.za Telephone: 086 147 3738 |

3. THE ACT

- 3.1 Some key objectives of the Promotion of Access to Information Act (PAIA) are to promote transparency, accountability and effective governance of all public and private bodies.
- 3.2 The Information Regulator is responsible for the regulatory mandate functions relating to PAIA.
- 3.3 PAIA grants a requester access to records of our company, 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.
- 3.4 Requests in terms of PAIA shall be made in accordance with the prescribed procedures, at the rates provided. The forms and charges are dealt with in paragraphs 6 and 7.
- 3.5 Requesters are referred to the 'Guide' compiled by the Information Regulator, which is available in a range of official languages and contains information for the purposes of exercising constitutional rights.

Please contact the Information Regulator or visit their website for more information on how you can get access to information under PAIA, and to access the Guide.

The contact details of the Information Regulator are:

Postal address: P.O Box 3153, Braamfontein, Johannesburg, 2017
Physical address: JD House, 27 Stiemens Street, Braamfontein, Johannesburg, 2001

Phone number: 010 023 5200
 Website: <https://www.inforegulator.org.za/>
 E-Mail address: enquiries@inforegulator.org.za(general enquiries)

The Guide can also be made available upon request, in writing, to our information officer.

4. APPLICABLE LEGISLATION

The records we hold for the purposes of PAIA are in terms of various laws; the main laws are as follows, although not limited to:

| Ref | Act |
|---------------|--|
| No 75 of 1997 | Basic Conditions of Employment Act |
| No 53 of 2003 | B-BBEE Act |
| No 61 of 1973 | Companies Act |
| No 68 of 2008 | Consumer Protection Act |
| No 55 of 1998 | Employment Equity Act |
| No 36 of 2005 | Electronic Communications Act |
| No 25 of 2002 | Electronic Communications and Transactions Act |
| No 37 of 2002 | Financial Advisory and Intermediary Services Act |
| No 38 of 2001 | Financial Intelligence Centre Act |
| No 66 of 1995 | Labour Relations Act |
| No 85 of 1993 | Occupational Health and Safety Act |
| No 2 of 2000 | Promotion of Access of Information Act |
| No 4 of 2013 | Protection of Personal Information Act |
| No 30 of 1996 | Unemployment Insurance Act |
| No 89 of 1991 | Value Added Tax Act |

5. ACCESS TO RECORDS AND AVAILABILITY

We hold the following subjects and categories of records.
 Please be advised that, as specified below, not all records are automatically available. The method of requesting information is detailed further on in this Manual.

| Records | Subject | Availability |
|----------------|---|---|
| Public Affairs | Information on our services Marketing material Public corporate records | Freely available on our website at www.taxrisk.co.za |

| | | |
|-----------------------|--|---|
| Company and Business: | Financial statements Financial and tax records (Company & Employees) Banking details and records Asset register Share register Management accounts Finance agreements Insurance arrangements Minutes of board of directors meetings Records relating to the appointment of directors, auditor, secretary, etc. Operational records and internal correspondence Standard operating procedures and company policies | Not automatically available. We are a Proprietary Limited (Pty Ltd) – and we are not required to disclose this information or make it freely available |
| | Documents of incorporation Directors' names | Available from CIPC (Companies and Intellectual Property Commission) |
| Personnel | Records relating to current and previous staff Contractual agreements with service providers and consultants | Not automatically available |
| Client information | Details about our clients, their contact information, their personnel, and our services and communications to them | Not automatically available |

Description of the categories of data subjects (the individual to which the information relates) and of the information or categories of information relating thereto, in terms of the information we process:

| Categories of Data Subjects | Personal Information that may be processed includes |
|------------------------------------|---|
| Service providers | Names, registration number, vat numbers, address, trade secrets and bank details. |
| Employees | Name, address, phone and personal e-mail contact, qualifications, salary, bank details, gender, race and next of kin, |
| Directors and shareholders | Same as 'Employees' |
| Clients | Business information of the company, including name, address, registration numbers or identity numbers, bank details. Representatives / Key Individuals: full names, address, race, gender, education, ID / passport numbers, individual Fit and Proper reviews, |

Our purposes for processing personal information, who we share information with, well as our information security measures are detailed within our Privacy statement, which is available on our website.

6. HOW TO REQUEST ACCESS TO RECORDS

To facilitate the processing of your request, kindly:

- 6.1 Use the prescribed form, available on the website of the Information Regulator at <https://www.inforegulator.org.za/> under the section 'Documents / Forms'.
- 6.2 Address your request to our Information Officer.
- 6.3 Provide sufficient details to enable us to identify:
 - (a) The record(s) being 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, email address or fax number of the requester 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.

All requests will be carefully considered in terms of PAIA. Our Information Officer will notify you in writing as to whether your request for access has been approved or denied. You will receive such notification within 30 days after we have received the completed request form.

Please note that in certain cases, we may refuse you access to the requested record/s to protect others. This can include the following instances where we have a duty to:

- Protect the privacy of a third party
- Protect confidential information in terms of an agreement
- Protect the privacy and safety of a person or a juristic person
- Protect information in legal proceedings

You will however be notified of the reasons in writing should we refuse to provide the requested record/s to you.

If your request for access is denied or we do not handle your request in an acceptable manner, and after allowing us the opportunity to respond to and attempt to resolve the issue, you are still dissatisfied, you may lodge a complaint with the Information Regulator by completing a Complaint Form and submitting it to PAIAComplaints@inforegulator.org.za, or you can complete the online complaint form available at <https://www.justice.gov.za/inforeg/>

The Complaint Form is available on the website of the Information Regulator at <https://www.inforegulator.org.za/> under the section 'Documents / Forms'.

7. PRESCRIBED FEES

You will be required to pay a fee to us, as stipulated by law, before your request is considered or the records that you have requested are made available to you. Records may be withheld until the applicable fee/s have been paid.

You may have to pay a further access fee for any time that has exceeded the prescribed hours to search and prepare the requested record/s.

The prescribed fees are set out in Annexure B of the *Regulations relating to the Promotion of Access to Information, 2021*, as issued by the Department of Justice and Constitutional Development. A copy of the Regulations can be made available upon request to our Information Officer.

8. AVAILABILITY OF OUR MANUAL

Our Manual, in English, is available on our website, and at our company office.

9. UPDATES TO OUR MANUAL

We may update this Manual at any time and without notice to you whenever we make material changes to the current information, by publishing an updated version on our website, and from the stated revision date our amended Manual will then be applicable.