



RI Financial Management Services (PTY) Ltd

**Manual in terms of**  
**The Promotion of Access to Information Act 2/2000**  
(the “ACT”)

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## 1. INTRODUCTION

RI Financial Management Services (Pty) Ltd is an authorised service provider in terms of the Financial Advisory & Intermediary Service Act. Our FSP license number is 47004.

## 2. COMPANY CONTACT DETAILS

### Authorised persons

Directors: Ilse de Klerk

Postal Address: P.O. Box 184, Damdoryn, 0280

Street Address: PTN 2 Farm Spokie, Hartbeesfontein, Hekpoort, 1790

Telephone Number: 082 342 4848

Fax Number: 086 606 4149

E-mail address: ilse@rifin.co.za

Website: www.rifin.co.za

Company Registration: 2012/217084/07

## 3. THE ACT

The ACT grants a requester access to records of the 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.

Requests in terms of the 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.

Requesters are referred to the Guide to be compiled by the South African Human Rights Commission, PAIA Unit, which will contain information for the purposes of exercising Constitutional Rights. The contact details of the Commission are:

Postal Address: Private Bag 2700, Houghton, 2014

Telephone Number: +27-11-877-3600

Fax Number: +27-11-403-0625

Website: www.sahrc.org.za

E-mail: paia@sahrc.org.za

#### 4. APPLICABLE LEGISLATION

Basic Conditions of Employment Act No. 75 of 1997  
Collective Investments Schemes Control Act No. 45 of 2002  
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 Advisory and Intermediary Services Act No. 37 of 2002  
Financial Intelligence Centre Act No. 38 of 2001  
Financial Institutions (Protection of Funds) Act No. 28 of 2001  
Financial Services Board Act No. 97 of 1990  
Financial Services Ombud Schemes Act No. 37 of 2004  
Friendly Societies Act No. 25 of 1956  
Income Tax Act No. 58 of 1962  
Insurance Laws Amendment Act No. 27 of 2008  
Labour Relations Act No. 66 of 1995  
Long-term Insurance Act No. 52 of 1998  
Medical Schemes Act No. 131 of 1998  
Occupational Health and Safety Act No. 85 of 1993  
Pension Funds Act No. 24 of 1956  
Prevention of Organised Crime Act No. 121 of 1998  
Protection of Constitutional Democracy against Terrorist and Related Activities Act No. 33 of 2004  
Security Services Act No. 36 of 2004  
Short Term Insurance Act No. 53 of 1998  
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

#### 5. ACCESS TO RECORDS AND AVAILABILITY

5.1. The head of RI Financial Management Services (Pty) Ltd –

5.1.1. Must, during office hours and upon request, make available for public inspection a copy of the manual;

5.1.2. May not charge a fee for a public inspection referred to in paragraph (a);  
and

5.1.3. May, in respect of a copy of the manual or part thereof made available in a manner other than that contemplated in paragraph(a), charge the fee prescribed in item 1 of Part III of Annexure A and the actual postage if a copy must be posted.

5.2. Records

5.2.1. Public Affairs

5.2.1.1.1. Public Product Information

5.2.1.1.2. Public Corporate Records

- 5.2.1.1.3. Media Releases
- 5.2.1.1.4. FSB License
- 5.2.2. Companies Act Records
  - 5.2.2.1.1. Documents of incorporation
  - 5.2.2.1.2. Memorandum and Articles of Association
  - 5.2.2.1.3. Minutes of Board of Directors meetings
    - 5.2.2.1.3.1. Records relating to the appointment of directors/auditors/secretary/ public officer and other officers
  - 5.2.2.1.4. Share Register and other Statutory registers
- 5.2.3. Financial Records
  - 5.2.3.1.1. Annual Financial Statements
  - 5.2.3.1.2. Tax Return
  - 5.2.3.1.3. Accounting Records
  - 5.2.3.1.4. Asset Register
  - 5.2.3.1.5. Rental Agreement
  - 5.2.3.1.6. Invoices
- 5.2.4. Income Tax Records
  - 5.2.4.1.1. PAYE Records
  - 5.2.4.1.2. Documents issued to employees for income Tax purposes
  - 5.2.4.1.3. Records of payments made to SARS on behalf of employees
  - 5.2.4.1.4. All other statutory compliance:
    - 5.2.4.1.4.1.1. VAT
    - 5.2.4.1.4.1.2. Regional Services Levies
    - 5.2.4.1.4.1.3. Skills Development Levies
    - 5.2.4.1.4.1.4. UIF
    - 5.2.4.1.4.1.5. Workmen's Compensation
- 5.2.5. Personnel documents and records
  - 5.2.5.1.1. Employment Contracts
  - 5.2.5.1.2. Employment Equity Plan (if applicable)
  - 5.2.5.1.3. Medical Aid records
  - 5.2.5.1.4. Pension Fund records
  - 5.2.5.1.5. Disciplinary records
  - 5.2.5.1.6. Salary records
  - 5.2.5.1.7. SETA records
  - 5.2.5.1.8. Disciplinary code
  - 5.2.5.1.9. Leave records
  - 5.2.5.1.10. Training records
  - 5.2.5.1.11. Training Manuals
- 5.2.6. Marketing
  - 5.2.6.1.1. Market Information
  - 5.2.6.1.2. Public Customer Information
    - 5.2.6.1.2.1.1. Product Brochures
    - 5.2.6.1.2.1.2. Owner Manuals
  - 5.2.6.1.3. Field records

- 5.2.6.1.4. Performance Records
  - 5.2.6.1.5. Product Sales Records
  - 5.2.6.1.6. Marketing Strategies
  - 5.2.6.1.7. Customer Database
- 5.2.7. Subjects on which records are kept -
- 5.2.7.1.1. Clients
  - 5.2.7.1.2. Policyholders
  - 5.2.7.1.3. Service Providers
  - 5.2.7.1.4. Product Providers
- 5.2.8. Product and Services
- 5.2.8.1.1. Service Level Agreements
  - 5.2.8.1.2. Financial Advisory and Intermediary Services Act, all related records are kept.
- 5.2.9. Operations relating to the FSP
- 5.2.9.1. Production records
  - 5.2.9.2. Compliance reports
  - 5.2.9.3. Complaints procedure
  - 5.2.9.4. Contractual agreements with suppliers
  - 5.2.9.5. Procedure manuals
  - 5.2.9.6. Registers of key individuals
  - 5.2.9.7. Register of representatives
  - 5.2.9.8. Register of premature cancellation of products

## 6. FORM OF REQUEST

- 6.1. The requester must complete Annexure A and submit this form together with a request fee, to the head of the private body.
- 6.2. The form must be submitted to the head of the private body at his/her address, fax number or electronic mail address.
- 6.3. The form must provide sufficient particulars to enable the head of the private body to identify the record/s requested and to identify the requester:
- 6.3.1. Indicate which form of access is required
  - 6.3.2. Specify a postal address or fax number of the requester in the Republic.
  - 6.3.3. Identify the right that the requester is seeking the exercise or protect
  - 6.3.4. And provide an explanation of why the requested records is required for
  - 6.3.5. The exercise or protection of that right
  - 6.3.6. If in addition to a written reply, the requester wishes to be informed
  - 6.3.7. The decision on the request in any other manner, to state that manner
  - 6.3.8. And the necessary particulars to be informed in the other manner
  - 6.3.9. If the request is made on behalf of another person, to submit proof of the capacity in which the requester is making the request, to the reasonable satisfaction of the head of the private body.
  - 6.3.10. Forms can be downloaded from [http://www.justice.gov.za/forms/form\\_paia.htm](http://www.justice.gov.za/forms/form_paia.htm)

## 7. PRESCRIBED FEES

7.1. The following applies to requests (other than personal request):

7.1.1. A requestor is required to pay the prescribed fees before a request will be processed. Fees payable see Annexure B:

7.1.2. If the preparation of the record 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);

7.1.3. A requestor may lodge an application with a court against the tender/payment of the request fee and/or deposit;

7.1.4. Records may be withheld until the fees have been paid;

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

Signed on this day 3 of March 2017

  
\_\_\_\_\_  
DIRECTOR

**ANNEXURE A**

**REQUEST FOR ACCESS TO RECORDS 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  
[FSP]

**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 ONLY if a request for information is made on behalf of another 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:
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.

Reasons 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 to the record, if any, will be determined partly by the form in which access is requested.

<b>1. If the record is in written or printed form:</b>			
<input type="checkbox"/>	Copy of record*	<input type="checkbox"/>	Inspection of record
<b>2. If record consists of visual images:</b> (this includes photographs, slides, video recordings, computer-generated images, sketches etc.)			
<input type="checkbox"/>	View images	<input type="checkbox"/>	Copy of images*
<input type="checkbox"/>		<input type="checkbox"/>	Transcription of images*
<b>3. If record consists of recorded words or information which can be reproduced in sound:</b>			
<input type="checkbox"/>	Listen to soundtrack (audio cassette)	<input type="checkbox"/>	Transcription of soundtrack* (written or printed document)
<b>4. If record is held on computer or in an electronic or machine-readable form:</b>			
<input type="checkbox"/>	Printed copy*	<input type="checkbox"/>	Printed copy of information derived from record*
<input type="checkbox"/>		<input type="checkbox"/>	Copy in computer-readable form* (stiffy or compact disc)
*If you requested a copy or transcription of a record (above), do you wish the copy or transcription be posted to you? <div style="text-align: right;"> <input type="checkbox"/> YES <input type="checkbox"/> NO         </div>			
<b>Postage is payable</b>			

**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 of ..... 20.....

.....  
SIGNATURE OF REQUESTER / PERSON  
ON WHOSE BEHALF REQUEST IS MADE

## ANNEXURE B

### Fees in respect of private bodies

1. The fee for a copy of the manual as contemplated in regulation 9(2)(c) is R1.10 for every photocopy of an A4-size page or part thereof.
2. The **fees for reproduction** referred to in regulation 11(1) are as follows:

		<b>R</b>
(a)	For every photocopy of an A4-size page or part thereof	1.10
(b)	For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form	0.75
(c)	For a copy in a computer-readable form on - (i) floppy disc (ii) compact disc	7.50 70.00
(d)	(i) For a transcription of visual images, for an A4-size page or part thereof (ii) For a copy of visual images{	40.00 60.00
(e)	(i) For a transcription of an audio record, for an A4-size page or part thereof (ii) For a copy of an audio record	20.00 30.00

3. The **request fee** payable by a requester, other than a personal requester, referred to in regulation 11(2) is R50.00.
4. The **access fees** payable by a requester referred to in regulation 11(3) are as follows:

		<b>R</b>
1(a)	For every photocopy of an A4-size page or part thereof	1.10
(b)	For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form	0.75
(c)	For a copy in a computer-readable form on - (i) floppy disc (ii) compact disc	7.50 70.00
(d)	(i) For a transcription of visual images, for an A4-size page or part thereof (ii) For a copy of visual images{	40.00 60.00
(e)	(i) For a transcription of an audio record, for an A4-size page or part thereof (ii) For a copy of an audio record	20.00 30.00
(f)	To search for and prepare the record for disclosure, R30,00 for each hour or part of an hour reasonably required for such search and preparation	
2	For purposes of section 54(2) of the Act, the following applies: (a) Six hours as the hours to be exceeded before a deposit is payable; and (b) one third of the access fee is payable as a deposit by the requester.	
3	The actual postage is payable when a copy of a record must be posted to a requester	