



Brokerage

ANNA KOTZE MAKELAARS Pty(Ltd)

MANUAL

Prepared in terms of section 51 of the
Promotion of Access to Information Act 2 of 2000
For assistance in requesting access to information from:

Divisions of Brokerage: Anna Kotze Makelaars Pty(Ltd)

1. RECORDS HELD BY BROKERAGE..... ANNA KOTZE MAKELAARS Pty(Ltd)
2. Categories of Records and Subjects on which records are kept

Note: The list below is not meant to be definitive. If your brokerage does not keep some of the records mentioned below, please delete. If your brokerage keeps additional records to the ones mentioned below, please add.

Products and Services-

- | | |
|---|---------------------------------------|
| § Long-term insurance products | § Retirement annuities, Pension Funds |
| § Savings products | § Trust services |
| § Unit trust products | |
| § Investment and risk products to groups and schemes | |
| § All records kept in terms of legislation applicable to any of the above products or services and the Financial Services Industry in general | |

Company Records -

- | | |
|---|--------------------------|
| § Finance | |
| § Client care | § Marketing |
| § All records kept in terms of the Company Laws of South Africa | § Information technology |
| § Human resources | |

Subjects on which records are kept-

- | | |
|-----------------|-----------------|
| § Shareholders | § Advisers |
| § Board members | § Brokers |
| § Directors | § Clients |
| § Employees | § Policyholders |
| § Investors | |

Which records are held i.r.o. the above-mentioned subjects?

- | | |
|--------------------------|--------------------|
| § Confidential | § Business |
| § Personal | § Policyholder |
| § Commercial | § Shareholder |
| § Financial | § Broker |
| § Investor | § Directors |
| § Adviser | § Employee |
| § Information technology | § Official/legal |
| § Client | § Policy documents |
| § Product and services | |
| § Contracts | |

Records held in terms of the following legislation:

- § Basic Conditions of Employment Act, 75 of 1997
- § Employment Equity Act, 55 of 1998
- § Financial Intelligence Centre Act 38 of 2001
- § Financial Markets Control Act, 55 of 1998
- § Income Tax Act, 58 of 1962
- Administration of Estates Act, 66 of 1965
- § Inspection of Financial Institution's Act, 80 of 1998
- § Labour Relations Act, 66 of 1995
- § Long Term Insurance Act 52 of 1998
- § Medical Schemes Act, 131 of 1998
- § Pension Funds Act, 24 of 1956
- § Prevention of Organised Crime Act, 121 of 1998
- Short term Insurance Act, 53 of 1998
- § Tax on Retirement Funds Act, 38 of 1996
- § Unit Trust Control Act, 54 of 1981
- Occupational Health and Safety Act, 85 of 1993
- Unemployment Insurance Act, 63 of 2001

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

- q No Notice in terms of Section 52(2) of the Act has been published.

4. PROCEDURE TO BE FOLLOWED TO REQUEST ACCESS TO ANY RECORDS?

- q Complete the necessary application form. (If you need help on where to obtain the application form or if you need help on any other matter you can contact the Tradewind Alliance Information Officer
- q Send the completed application form via post or fax to the address below and mark it for the attention of the relevant Company Official mentioned below
- q The Company Official will then process your application and inform you of the fees (if any) you have to pay and of the different procedures that must be followed until your application is finalized.
- q 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.

Address: 2ND Floor Valerida Centre
Piet Retief Street
Stellenbosch
7600

Company Officials

THE INFORMATION OFFICER
ANINA SCHOLTZ
THE INFORMATION OFFICER
TRADEWIND ALLIANCE
PO BOX 856

COMPANY OFFICIAL
Anna Kotze – Financial Advisor

HOWARD PLACE
7450

5. HUMAN RIGHTS COMMISSION GUIDE

In terms of Sec 51(1)(b) of this Act this manual must contain a description of the Human Rights Commission's guide and how to obtain access thereto. The Human Rights Commission is required by Sec 10 of the Act to publish a comprehensive guide on how to obtain access to information in terms of the act and their address, being

Private Bag 2700
Houghton
2041
Tel: 011-484 8300
Fax: 011-484 8300