

ACTIVE FINANCIAL PLANNING (PTY) LTD FSP 50192

**Authorized Financial Services Provider regulated by the
Financial Services Board, FSP NO 50192**

ACTIVE FINANCIAL PLANNING (PTY) LTD

MANUAL

in terms of

The Promotion of Access to Information Act

2/2000

(the "ACT")

April 2020

INDEX

1. Introduction to ACTIVE FINANCIAL PLANNING (PTY) LTD

ACTIVE FINANCIAL PLANNING (PTY) LTD is a business conducted in its capacity of a private company and is duly registered as such viz .Company Registration number 2019/057960/07

2. Contact Details:

3. The ACT

4. Applicable Legislation

5. Access To Records and Availability

6. Form of Request

7. Prescribed Fees

1. INTRODUCTION

ACTIVE FINANCIAL PLANNING (PTY) LTD conducts business as a Long Term Risk and Investment Financial Planner. The business is an Authorized Service Provider in terms of the Financial Advisory & Intermediary Service Act. The FSP license number is FSP 50192

2. ENTITY CONTACT DETAILS

Persons designated/duly authorised persons:

Director	:	ALLISON HARRISON
Office Manager:		A HARRISON
Postal Address:		9 AANDWIND ROAD KIRSTENHOF CAPE TOWN 7945
Street Address:		9 AANDWIND ROAD KIRSTENHOF CAPE TOWN 7945
Telephone Number:		0835643784
E-mail address:		allison@activefp.co.za

3. THE ACT

- 3.1** 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.
- 3.2** 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.
- 3.3** Requesters are referred to the Guide to be compiled by the South African Human Rights Commission, which will contain information for the purposes of exercising Constitutional Rights. The contact details of the Commission are:

Postal Address: Private Bag 2700, Houghton, 2041
Telephone Number: +27-11- 877 3600
Fax Number: +27-11- 403 0625
Website:

4. APPLICABLE LEGISLATION

<u>No</u>	<u>Ref</u>	<u>Act</u>
1	No 95 of 1967	Income Tax Act
2	No 37 of 2002	Financial Advisory and Intermediary Services Act
3	No 25 of 2002	Electronic Communications and Transactions Act
4	No 2 of 2000	Promotion of Access of Information Act
5	No 38 of 2001	Financial Intelligence Centre Act
6	No 24 of 1956	Pension Fund Act
7	No 4 of 2013	Protection of Personal Information Act
8	No 2 of 2000	Promotion of Access to Information Act
9	No 52 of 1998	Long Term Insurance Act

5. ACCESS TO RECORDS AND AVAILABILITY

The head of ACTIVE FINANCIAL PLANNING (PTY) LTD –Allison Harrison

(a) must, during office hours and upon request, make available for public inspection a copy of the manual;

(b) may not charge a fee for a public inspection referred to in paragraph (a); and

(c) 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.”.

Records

PUBLIC AFFAIRS

- Public Product Information
- Public Corporate Records
- Media Releases

FINANCIAL RECORDS

1. Annual Financial Statements
2. Tax Returns
3. Accounting Records
4. Banking Records
5. Bank Statements
6. Paid Cheques
7. Electronic banking records
8. Asset Register
9. Rental Agreements
10. Invoices

INCOME TAX RECORDS

1. Tax Directive
2. Documents issued to employees for income tax purposes

PERSONNEL DOCUMENTS AND RECORDS

1. Employment contracts
2. Medical Aid records
3. Pension Fund records

4. Salary records
5. Training records
6. Training Manuals

MARKETING

1. Market Information
2. Public Customer Information:
 - a. Product Brochures
 - b. Owner Manuals
3. Field Records
4. Performance Records
5. Product Sales Records
6. Marketing Strategies
7. Customer Database

SUBJECTS ON WHICH RECORDS ARE KEPT–

Clients / Policyholders / Service Providers and Product Suppliers of ACTIVE FINANCIAL PLANNING (PTY) LTD

Products and Services:

Long-term insurance products, Retirement annuities, Pension Funds
Savings products, Trust services, Investment and risk products to groups and schemes.

All these records are kept in terms of legislation applicable to any of the above products or services and the Financial Services Industry in general

6. FORM OF REQUEST

The requester must complete Form C and submit this form together with a request fee, to the head of the private body.

The form must be submitted to the head of the private body at his/ her address, fax number, or electronic mail address.

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:

- Indicate which form of access is required,
- Specify a postal address or fax number of the requester in the Republic,
- Identify the right that the requester is seeking to exercise or protect,
- And provide an explanation of why the requested record is required for the exercise or protection of that right,
- If in addition to a written reply, the requester wishes to be informed of the decision on the request in any other manner, to state that manner

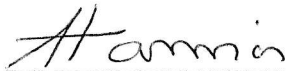
- And the necessary particulars to be informed in the other manner,
- If the request is made on behalf of another person, to submit proof of
- The capacity in which the requester is making the request, to the reasonable satisfaction of the head of the private body.

7. PRESCRIBED FEES

The following applies to requests (other than personal requests):

- 7.1** A requestor is required to pay the prescribed fees (R50.00) before a request will be processed;
- 7.2** 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);
- 7.3** A requestor may lodge an application with a court against the tender/payment of the request fee and/or deposit;
- 7.4** Records may be withheld until the fees have been paid.
- 7.5** 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 <http://www.doj.gov.za/>

Signed on this day 13th of April 2020



Allison Harrison (Key Individual)
Head of ACTIVE FINANCIAL PLANNING (PTY) LTD