



GJM ULTRA BROKERS

Specialist financial planning for medical practitioners

GJM Ultra Brokers 1 (Pty) Ltd

Registration Number:

(2017/524744/07911)

PAIA MANUAL

**Prepared in terms of section 51 of the
Promotion of Access to Information Act
2 of 2000 (as amended)**

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1. LIST OF ACRONYMS AND ABBREVIATIONS

- 1.1 **“CEO”** Chief Executive Officer
- 1.2 **“DIO”** Deputy Information Officer;
- 1.3 **“IO”** Information Officer;
- 1.4 **“Minister”** Minister of Justice and Correctional Services;
- 1.5 **“PAIA”** Promotion of Access to Information Act No. 2 of 2000(as Amended;
- 1.6 **“POPIA”** Protection of Personal Information Act No.4 of 2013;
- 1.7 **“Regulator”** Information Regulator; and
- 1.8 **“Republic”** Republic of South Africa

2. PURPOSE OF PAIA MANUAL

This PAIA Manual is useful for the public to-

- 2.1 check the categories of records held by a body which are available without a person having to submit a formal PAIA request;
- 2.2 have a sufficient understanding of how to make a request for access to a record of the body, by providing a description of the subjects on which the body holds records and the categories of records held on each subject;
- 2.3 know the description of the records of the body which are available in accordance with any other legislation;

- 2.4 access all the relevant contact details of the Information Officer and Deputy Information Officer who will assist the public with the records they intend to access;
- 2.5 know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
- 2.6 know if the body will process personal information, the purpose of processing of personal information and the description of the categories of data subjects and of the information or categories of information relating thereto;
- 2.7 know the description of the categories of data subjects and of the information or categories of information relating thereto;
- 2.8 know the recipients or categories of recipients to whom the personal information may be supplied;
- 2.9 know if the body has planned to transfer or process personal information outside the Republic of South Africa and the recipients or categories of recipients to whom the personal information may be supplied; and
- 2.10 know whether the body has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

3. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION OF GJM ULTRABROKERS 1 (PTY) LTD

3.1. Chief Information Officer

Name: Gregory James Meaden
Tel: 011 455 2015
Email: tanya@ultrabrokers.co.za

3.2. Deputy Information Officer

Name: Tanya Van Niekerk
Tel: 011 455 2015
Email: tanya@ultrabrokers.co.za

3.3 Access to information general contacts

Email: info@ultrabrokers.co.za

3.4 National or Head Office

Postal Address: 3 Riley Road, Bedfordview Office Park, Unit 12, CSA
House, Bedfordview, Johannesburg, South Africa

Physical Address: 3 Riley Road, Bedfordview Office Park, Unit 12, CSA
House, Bedfordview, Johannesburg, South Africa

Telephone: 011 455 2015

Email: info@ultrabrokers.co.za

Website: www.gjmultrabrokers.co.za

4. GUIDE ON HOW TO USE PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE

- 4.1. The Regulator has, in terms of section 10(1) of PAIA, as amended, updated and made available the revised Guide on how to use PAIA ("Guide"), in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in PAIA and POPIA.
- 4.2. The Guide is available in each of the official languages and in braille.
- 4.3. The aforesaid Guide contains the description of-

4.3.1. the objects of PAIA and POPIA;

4.3.2. the postal and street address, phone and fax number and, if available, electronic mail address of-

4.3.2.1. the Information Officer of every public body, and

4.3.2.2. every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA and section 56 of POPIA ;

4.3.3. the manner and form of a request for-

4.3.3.1. access to a record of a public body contemplated in section 11 ; and

4.3.3.2. access to a record of a private body contemplated in section 50 ;

4.3.4. the assistance available from the IO of a public body in terms of PAIA and POPIA;

4.3.5. the assistance available from the Regulator in terms of PAIA and POPIA;

4.3.6. all remedies in law available regarding an act or failure to act in respect of a right or duty conferred or imposed by PAIA and POPIA, including the manner of lodging-

4.3.6.1. an internal appeal;

4.3.6.2. a complaint to the Regulator; and

4.3.6.3. an application with a court against a decision by the information officer of a public body, a decision on internal appeal or a decision by the Regulator or a decision of the head of a private body;

4.3.7. the provisions of sections 14 and 51 requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;

4.3.8. the provisions of sections 15 and 52 providing for the voluntary disclosure of categories of records by a public body and private body, respectively;

4.3.9. the notices issued in terms of sections 22 and 54 regarding fees to be paid in relation to requests for access; and

4.3.10. the regulations made in terms of section 92.

4.4. Members of the public can inspect or make copies of the Guide from the offices of the public and private bodies, including the office of the Regulator, during normal working hours.

4.5. The Guide can also be obtained-

4.5.1. upon request to the Information Officer.

4.5.2. from the website of the Regulator (<https://www.justice.gov.za/infoereg/>).

4.6 A copy of the Guide is also available in the following official languages, for public inspection during normal office hours-

4.6.1 English

5. CATEGORIES OF RECORDS OF GJM ULTRABROKERS 1 (PTY) LTD WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS

Category of records	Types of the Record	Available on Website	Available upon request
Public Affairs	<ul style="list-style-type: none"> • Public Product Information • Public Corporate Records • Media Releases 	www.gjmultra brokers.co.za	n/a
Financial	<ul style="list-style-type: none"> • Annual Financial Statements • Financial and tax Records (Company & Employees) • Asset Register • Management Accounts • Tax Returns • Accounting Records • Banking Reports • Bank Statements • Paid Cheques • Electronic Banking Records • Rental Agreements • Invoices 	n/a	<p>All financial records are held by our auditors and can be requested using the following contact details:</p> <p>Orkin Brown & Associates 43 Saint Margaret street, Hurleyvale, Edenvale 1611 011 453 1611 www.orkinbrown.co.za</p>
Marketing	<ul style="list-style-type: none"> • Market Information • Public Customer Information: <ul style="list-style-type: none"> ○ Product Brochures ○ Owner Manuals • Field Records • Performance Records • Product Sales Records 	www.gjmultra brokers.co.za	n/a

	<ul style="list-style-type: none"> • Marketing Strategies • Customer Database 		
Income Tax Records	<ul style="list-style-type: none"> • PAYE Records • Documents issued to employees for income tax purposes • Records of Payments made to SARS on behalf of employees • All other statutory compliances: UIF 	n/a	Records can be requested from our Tax department using the following contact details: Contessa Van Tonder contessa@ultratax.co.za 011 455 2015
Personnel Documents and Records	<ul style="list-style-type: none"> • Employment Contracts • Pension Fund Records • Disciplinary Records • Salary Records • SETA Records • Disciplinary Code • Leave Records • Training Records • Training Manuals 	n/a	All employee records are shared with the employee. Where a third-party requests employee records, the employee must provide consent on whether they want their information to be shared or not. Contact: Tanya Van Niekerk tanya@ultrabrokers.co.za 011 455 2015

6. DESCRIPTION OF THE RECORDS OF GJM ULTRA BROKERS 1 (PTY) LTD AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

Category of Records	Applicable Legislation
Memorandum of incorporation	Companies Act 71 of 2008
PAIA Manual	Promotion of Access to Information Act 2 of 2000

POPIA	Protection of Personal Information Act 4 of 2013
Financial Planning & Services	Short Term Insurance Act 53 of 1998
Financial Planning & Services	Copyright Act 98 of 1978
Employment matters	Employment Equity Act 55 of 1998
Financial and Tax services	Income Tax Act 95 of 1967
Employment matters	Labour Relations Act 66 of 1995
Financial and Tax services	Value Added Tax Act 89 of 1991
FAIS	Financial Advisory and Intermediary Services Act 37 of 2002
Employment matters	Basic Conditions of Employment Act 75 of 1997
Advertising and Marketing	Electronic Communications and Transactions Act 25 of 2002
Employment matters	Unemployment Insurance Act 30 of 1996
FICA	Financial Intelligence Centre Act 38 of 2001
Financial Planning & Services	Long Term Insurance Act 58 of 1998

7. DESCRIPTION OF THE SUBJECTS ON WHICH THE BODY HOLDS RECORDS AND CATEGORIES OF RECORDS HELD ON EACH SUBJECT BY GJM ULTRA BROKERS (PTY) LTD

Subjects on which the body holds records	Categories of records
Strategic Documents, Plans, Proposals	Annual Reports, Strategic Plan, Annual Performance Plan.
Human Resources	<ul style="list-style-type: none"> - HR policies and procedures - Advertised posts - Employees records

8. PROCESSING OF PERSONAL INFORMATION

8.1 Purpose of Processing Personal Information

GJM Ultra Brokers 1 (Pty) Ltd undertakes to receive, only from clients, and process the personal information that is necessary for the purpose to assist its clients with required solutions, conclude the necessarily related agreements and consider the legitimate legal interests of everyone concerned, as required by the Act and to respect its clients rights to withdraw their consent for the processing of their personal information.

8.2 Description of the categories of Data Subjects and of the information or categories of information relating thereto

Categories of Data Subjects	Personal Information that may be processed
Customers / Clients	name, address, registration numbers or identity numbers, employment status and bank details
Service Providers	names, registration number, vat numbers, address, trade secrets and bank details
Employees	address, qualifications, gender and race

8.3 The recipients or categories of recipients to whom the personal information may be supplied

Category of personal information	Recipients or Categories of Recipients to whom the personal information may be supplied
Identity number and names, for criminal checks	South African Police Services
Qualifications, for qualification verifications	South African Qualifications Authority
Credit and payment history, for credit information	Credit Bureaus

8.4 General description of Information Security Measures to be implemented by the responsible party to ensure the confidentiality, integrity and availability of the information

The nature of the security safeguards implemented by **GJM Ultra Brokers 1 (Pty) Ltd** is to ensure the confidentiality and integrity of the personal information under the care of the body. This includes Data Encryption; Anti-virus and Anti-malware Solutions.

9. AVAILABILITY OF THE MANUAL

9.1 A copy of the Manual is available-

9.1.1 on www.gjmultrabrokers.co.za if any;

9.1.2 head office of **GJM Ultra Brokers 1 (Pty) Ltd** for public inspection during normal business hours;

9.1.3 to any person upon request and upon the payment of a reasonable prescribed fee; and

9.1.4 to the Information Regulator upon request.

9.2 A fee for a copy of the Manual, as contemplated in annexure B of the Regulations, shall be payable per each A4-size photocopy made.

10. UPDATING OF THE MANUAL

The head of **GJM Ultra Brokers 1 (Pty) Ltd** will on a regular basis update this manual.

Issued by:

CEO: Gregory James Meaden

Signature _____

Signed on this day _____

14 / 10 / 2021

