



A Guide to
ACCESSING OUR INFORMATION

**Manual in terms of Section 51 of the
Promotion of Access to Information Act (PAIA) and
The Protection of Personal Information Act (PoPIA)
for the following entities:**

**Deutsche Securities (Pty) Ltd
Deutsche Securities (SA) (Pty) Ltd
Deutsche Group Holdings (SA) (Pty) Ltd
Deutsche Bank AG Johannesburg
J.R. Nominees (Pty) Ltd
The Deutsche Bank South Africa Foundation Trust**

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Preamble

The Promotion of Access to Information Act No. 2 of 2000, (“PAIA”) came into operation on 23 November 2001. Section 51 of this Act requires that we, as a private body, compile a manual giving information to the public regarding the procedure to be followed in requesting information from our Companies for the purpose of exercising or protecting rights.

The Protection of Personal Information Act No.4 of 2013 (“PoPIA”) as assented by the President of the Republic on 26 November 2013 and become effective 1 July 2020 seeks to promote the protection of personal information processed by public and private bodies by introducing conditions for the processing of personal information and providing for mechanisms to regulate the flow of information protection of personal information processed by public and private bodies by introducing conditions for the processing of personal information and providing for mechanisms to regulate the flow of information.

The two pieces of legislation have as their objectives the furtherance of Section 14 and 32 of the Constitution of the Republic which provides for the right to privacy and the right to access to information held by another in order to protect one for all of the citizens of the country.

Introduction to entities

The Deutsche Bank Group of Companies in South Africa consists of the following legal entities (the Companies):

- Deutsche Securities (Pty) Ltd is a member of both the JSE Limited but is in the process to cancel its equities and equities broker licenses. This entity has ceased trading in April 2020 and will be deregistered in the near future.
- J.R. Nominees (Pty) Ltd is the nominee holding company of Deutsche Securities (Pty) Ltd and will be deregistered in the near future.
- Deutsche Securities (SA) (Pty) Ltd houses the global corporate finance business and is an authorised financial services provider by the Financial Sector Conduct Authority.
- Deutsche Group Holdings (SA) (Pty) Ltd is the holding company for Deutsche Securities (Pty) Ltd and Deutsche Securities (SA) (Pty) Ltd.
- Deutsche Bank AG Johannesburg is registered as a branch of Deutsche Bank AG (incorporated in Germany) under the Banks Act, 1990, and is registered as an authorised dealer in foreign exchange by the South African Reserve Bank. This entity is also registered as a member of the Interest Rate Market of the JSE Limited (formerly the Bond Exchange of South Africa) and is a Primary Dealer in Government Bonds authorised by the National Treasury. This entity is also an authorised financial services provider by the Financial Sector Conduct Authority.
- The Deutsche Bank South Africa Foundation Trust is a non-profit organisation registered as a Trust.

In this manual, you will be able to view the categories of information which we possess and process. You will also be shown the correct procedure to follow should you require access to any of this information. A copy of this manual is also available on our website: <https://www.db.com/southafrica/>

Section A – Contact details

All requests for information in terms of the PAIA and PoPIA should be addressed to:

The **Information Officer** and **Head: Compliance** 3 Exchange Square
Deutsche Securities (Pty) Ltd 87 Maude Street
Private Bag X9933 Sandton
Sandton 2196
2146

Telephone: (011) 775 7000

Johan Gibhard: Information Officer and Head of
Compliance
johan.gibhard@db.com

Leonard Motshidi- Deputy Information Officer
Leonard.motshidi@db.com

Muneer Ismail: Chief Executive Officer
muneer.ismail@db.com

Section B – PAIA, The South African Human Rights Commission (“SHRC”) and The Information Regulator guide

PAIA grants a requester access to records of a 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 PAIA 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 of PAIA.

Requesters are referred to the Guide in terms of Section 10 which has been compiled by the South African Human Rights Commission, which will contain information for the purposes of exercising Constitutional Rights. The Guide is available from the SAHRC.

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: www.sahrc.org.za

The Guide contains the following information:

1. The objects of the Act;
2. Particulars of the information officer of every public body;
3. Particulars of every private body as are practicable;
4. The manner and form of a request for access to information held by a body;
5. Assistance available from both the information officers and the Human Rights Commission in terms of this Act;
6. All remedies in law regarding acts, omissions, rights and duties, including how to lodge an internal appeal and a court application;
7. Schedules of fees to be paid in relation to requests for access to information;
8. Regulations made in terms of the Act.

The assigned powers of the SAHRC will, in future be transferred to the newly approved Information Regulator (established in terms of POPIA).

The Information Regulator will report directly to Parliament and will oversee and regulate all matters regarding POPIA and PAIA.

An official guide will be or has been compiled which contains information to assist a person wishing to exercise a right of access to information in terms of PAIA and POPIA. This guide will be made available by the Information Regulator. Copies of the updated guide are available from Information Regulator in the manner prescribed. The Information Regulator's contact details are set out below.

- Tel: 012 406 4818
- Fax: 086 500 3351
- Email: inforeg@justice.gov.za
- Website: <http://www.justice.gov.za/inforeg/>.

Information available in terms of the two Acts

POPIA defines personal information as any information relating to an identifiable, living, natural person and where it is applicable, an identifiable, existing juristic person including but not limited to:

- Information relating to the race, gender, sex, pregnancy, marital status, national, ethnic or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language and birth of the person
- Information relating to the education of the medical, financial, criminal or employment history of the person
- Any identifying number, symbol, email address, physical address, telephone number, location information, online identifier or other particular assignment of the person
- The biometric information of the person
- The personal opinions, views or preferences of the person
- Correspondence sent by the person that is implicitly or explicitly of a private or confidential nature or further correspondence that would reveal the contents of the original correspondence
- The views or opinions of another individual about the person
- The name of the person if it appears with other per

PAIA promotes the right for access to any information held by another for the exercise or protection of any rights and its enactment was specifically for the purpose of giving access to information.

Categories of information collected by DBSA entities

DBSA has a Privacy Policy in place which describes how we collect, use, disclose and protect personal information. Personal information means information about a **living natural person and a juristic person** (each a “person”) to which privacy and data protection legislation in South Africa applies and as may be more particularly defined or limited by such legislation. This policy can also be found on our website at <https://www.db.com/southafrica/>

The subjects on which the Companies hold records and the categories of each subject are listed below. Please note that a requestor is not automatically allowed access to these records and that access to them may be refused in accordance with Sections 62 to 69 of PAIA.

Records relating to the following subjects are held:

- Personnel records
- Client related records
- Private Body records
- Other-party records



1.1 Personnel records

- (i) Personal records provided by personnel
- (ii) Records provided by a third party relating to personnel
- (iii) Conditions of employment and other personnel related contractual and quasi-legal records
- (iv) Internal evaluation records
- (v) Other internal records and correspondence

“Personnel” refers to any person who works for or provides services to or on behalf of the Companies, and who receives or is entitled to receive remuneration and any other person who assists in carrying out or conducting the business of the institution. This includes, without limitation, directors, all permanent, temporary and part-time staff, as well as contract workers.

1.2 Client related records

- (i) Records provided by a client to the Companies
- (ii) Records provided by a client to a third party acting for or on behalf of the Companies
- (iii) Records provided by a third party to the Companies
- (iv) Records generated by or within the Companies relating to its clients, including transactional records

A “Client” refers to any natural or juristic entity that receives services from the Companies.

1.3 Private body records

- (i) Financial records
- (ii) Operational records
- (iii) Databases
- (iv) Information technology
- (v) Marketing records
- (vi) Internal correspondence
- (vii) Product records
- (viii) Statutory records
- (ix) Internal policies, procedures and manuals
- (x) Treasury related records
- (xi) Securities and Equities; and
- (xii) Records held by officials of the Companies

These records include, but are not limited to, the records that pertain to the Companies' own affairs.

1.4 Other party records

- (i) Personnel, client or private body records which are held by another part, as opposed to the records held by the Companies
- (ii) Records held by the Companies pertaining to other parties, including without limitation, financial records, correspondence, contractual records, records provided by the other party, and records third parties have provided about the contractors/suppliers.

The Companies may possess records pertaining to other parties, including without limitation, contractors, suppliers, subsidiary/holding companies, joint venture companies, and service providers. Alternatively, such other parties may possess records that can be said to belong to the Companies.

Purpose of processing information

DBSA companies, in their capacities as responsible entities receive and process personal information on a regular basis. The processing of such information forms an integral part of the business activities of the companies and is required in order to be able to render the financial services we render to our clients.

Conditions for processing Personal Information

- (i) Accountability – DBSA entities, as responsible parties, must ensure that all the measures that give effect to all such conditions are complied with at the time of the determination of the purposes and means of the processing and during the processing of information. We must ensure that we are accountable and be able to demonstrate such accountability in respect of the information that is collected, processed and at times availed for access in terms of the Promotion of Access to Information Act (PAIA).
- (ii) Processing limitation – All information held within DBSA must be held and processed lawfully. The information may only be processed for the purpose for which it is collected, thus – its processing may never be excessive and must always be adequate and relevant.
- (iii) Purpose specific – Information must be collected for a specific, explicitly stated and lawful purpose related to the function/activity of DBSA as a responsible party.
- (iv) Further processing limitation – In instances where DBSA is required to use the information collected from data subjects for a purposes over and above what it was collected for, we will ensure that the purpose for which the information is being is similar to the purpose for which it was originally collected.



- (v) Information quality – DBSA entities are required to ensure that collected information is complete, accurate, not misleading and updated where necessary. Taking cognisance of this fact, due consideration must be given to the purpose for which the information was collected or further processed.
- (vi) Openness – All of the information collected and processed by DBSA is controlled under the S14 or 51 of the PAIA Act.
- (vii) Security safeguards – The integrity and confidentiality of personal information collected and maintained by DBSA by taking appropriate reasonable, technical and organisational measures to prevent loss, damage or unauthorised destruction of information and unlawful access to or processing of personal information.
- (viii) Data subjects participation – DBSA must always take cognisance of the fact that once a data subject has provided adequate proof of identity, he/she has the right to request any of the DBSA entities to confirm, free of charge, whether or not we hold the personal information of that data subject.

Planned transborder flows of information

If a data subject visits the DBSA's websites from a country other than the country in the DBSA's servers are located (currently United Kingdom), the various communications will necessarily result in the transfer of information across international boundaries.

The DBSA may need to transfer a data subject's information to other group companies or service providers in countries outside South Africa, in which case the DBSA will fully comply with applicable data protection legislation. This may happen if the DBSA's servers or suppliers and service providers are based outside South Africa, or if the DBSA's services are hosted in systems or servers outside South Africa and/or if a data subject uses the DBSA's services and products while visiting countries outside this area. These countries may not have data-protection laws which are similar to those of South Africa.

Procedure for requesting access to the above information (PAIA) and (PoPIA)

If you wish to request access to any of the above categories of information, you are required to complete the request form as set out in Annexure A hereto. The completed request form must be sent to the address, email or fax number provided in Section A of this manual, and marked for the attention of the Compliance Department.

These forms are also available from:

- our appointed Information Officer and Compliance Department (whose contact details are in section A of this manual);
- the SAHRC website (www.sahrc.org.za)
- the Department of Justice and Constitutional Development website (www.doj.gov.za).

There is a prescribed fee (payable in advance) for requesting and accessing information in terms of the Act. Details of these fees are contained in the request form. Note that in terms of Section 54.5 of the Act, records may be withheld until the requester concerned has paid the applicable fees.

You may also be called upon to pay the additional fees prescribed by regulation for searching for and compiling the information which you have requested, including copying charges.

It is important to note that access is not automatic – you must identify the right you are seeking to exercise or protect and explain why the record you request is required for the exercise or protection of that right. You will be notified in the manner indicated by you on the request form whether your request has been approved.

Also note that a request for access to information may be refused on the grounds set out in the Act. Mandatory grounds for refusal include, but are not limited to:

- Information for the protection of the privacy of individuals
- Information for the protection of commercial information and confidential information of third parties
- Information privileged from production in legal proceedings
- Commercial information of the Companies

Records available in terms of any other legislation

Where applicable to our operations, all records kept in terms of the following legislation applicable to any of the entities listed in this Manual are available in accordance with the said legislation.

- Administration of Estates Act No.66 of 1965
- Banks Act No. 94 of 1990
- Basic Conditions of Employment Act No. 75 of 1997
- e Investment Schemes Control Act No. 45 of 2002
- Companies Act No. 71 of 2008
- Competition Act No. 89 of 1998
- Compensation for Occupational Injuries and Diseases Act No. 130 of 1993
- Customs and Excise Act No 91 of 1964
- 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
- Income Tax Act No. 58 of 1962
- Insolvency Act No.24 of 1936
- Inspection of Financial Institutions Act No.18 of 1998
- Labour Relations Act No. 66 of 1995
- Occupational Health and Safety Act No. 85 of 1993
- Pension Funds Act 24 of 1956
- Prevention of Organised Crime Act No. 121 of 1998
- Securities Services Act No. 36 of 2004
- Skills Development Levies Act No.9 of 1999
- Stamp Duties Act No. 77 of 1968
- Unemployment Insurance Act No. 63 of 2001
- Securities Transfer Tax Act No.25 of 2007
- Unit Trusts Control Act No. 54 of 1981
- Usury Act No. 73 of 1968
- Value-added Tax Act No. 89 of 1991

Categories of records automatically available

A private body may, on a voluntary basis and periodic basis, submit to the Minister a description of categories of records that are automatically available without a person having to request access in terms of this Act. The Minister must publish such description in the Gazette. The Companies have not submitted any such description to the Minister for publication.

ANNEXURE A

FORM C

REQUEST FOR ACCESS TO RECORD 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:

.....
.....
.....

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: Email 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.*

Reason 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.

1. If the record is in written or printed form:

<input type="checkbox"/> copy of record*	<input type="checkbox"/> inspection of record
--	---

2. If record consists of visual images

(this includes photographs, slides, video recordings, computer-generated images, sketches, etc.):

<input type="checkbox"/> view the images	<input type="checkbox"/> copy of the images*	<input type="checkbox"/> transcription of the images*
--	--	---

3. If record consists of recorded words or information which can be reproduced in sound:

<input type="checkbox"/> listen to the soundtrack (audio cassette)	<input type="checkbox"/> transcription of soundtrack* (written or printed document)
--	---

4. If record is held on computer or in an electronic or machine-readable form:

<input type="checkbox"/> printed copy of record*	<input type="checkbox"/> printed copy of information derived from the record*	<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 to be posted to you? Postage is payable.	YES	NO
---	-----	----

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

AN EXPLANATORY NOTE ON FEES TO BE CHARGED BY A PRIVATE BODY WHEN GRANTING A REQUEST FOR ACCESS TO INFORMATION IN TERMS OF THE PROMOTION OF ACCESS TO INFORMATION ACT, 2000.

The fees chargeable by private bodies are contained in Part III of Annexure “A” of the Regulations. A copy of Part III is attached for your convenience. The present charges are as follows:

1. Copies of a manual

Should an individual require a copy of the private body’s manual, a fee of R1,10 is chargeable for every photocopy of an A4 page or part thereof.

2. Reproduction fees¹

Reproduction fees apply to obtaining copies or transcriptions of information which is automatically available from the private body. The fees are listed in paragraph 2 of Part III of Annexure “A” to the Regulations.

3. Access fees²

Access fees are chargeable for copies or transcriptions of information requested under this Act. The fees are listed in paragraph 4 of Part III of Annexure “A” to the Regulations.

4. Other fees

4.1 A **request fee**³ of R50,00 is payable by a requester who is seeking access to a record containing information which is not personal to the requester. See paragraph 6 of Part 1 of this Work.

4.2 A **search fee**⁴ may be charged at a rate of R30,00 per hour or part thereof for searching and preparing the record for disclosure provided such time was reasonably required for that purpose.

4.3 If the request is not limited to records containing information which is personal to the requester and if the head of the private body is of the opinion that the time taken to give effect to the request will exceed six hours the requester can be called upon to pay a **deposit** of not more than one third of an estimate of the access fee which will become payable.⁵

1 Section 52(3) and Regulation 1(1).

2 Section 54(7) and Regulation 11(3).

3 Section 54(1) and Regulation 11(2).

4 Annexure “A”, Part III, Item 4(1)(f).

5 Section 54(2).

4.4 If a copy of a record is posted to a requester, the requester is obliged to pay the actual **postage** payable.



PART III
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:

	R
(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) stiffy disc.....	7,50
(ii) compact disc.....	70,00
(d) (i) For a transcription of visual images, for an A4-size page or part thereof	40,00
(ii) For a copy of visual images	60,00
(e) (i) For a transcription of an audio record, for an A4-size page or part thereof	20,00
(ii) For a copy of an audio record.....	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:

	R
(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) stiffy disc.....	7,50
(ii) compact disc	70,00
(d) (i) For a transcription of visual images, for an A4-size page or part thereof.....	40,00
(ii) For a copy of visual images.....	60,00
(e) (i) For a transcription of an audio record, for an A4-size page or part thereof.....	20,00
(ii) For a copy of an audio record	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.

ANNEXURE C

**OBJECTION TO THE PROCESSING OF PERSONAL INFORMATION IN TERMS OF
SECTION 11(3) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO.
4 OF 2013)
REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017
[Regulation 2(1)]**

Note:

1. Affidavits or other documentary evidence in support of the objection must be attached.
2. If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.

Reference Number _____

A	DETAILS OF DATA SUBJECT
Name and surname of data subject:	
Residential, postal or business address:	
	Code ()
Contact number(s):	
Fax number:	
E-mail address:	
B	DETAILS OF RESPONSIBLE PARTY
Name and surname of responsible party (if the responsible party is a natural):	
Residential, postal or business address:	
	Code ()
Contact number(s):	
Fax number:	
E-mail address:	
Name of public or private body (if the responsible party is not a natural person):	



Business address:	
	Code ()
Contact number(s):	
Fax number:	
E-mail address:	
C	REASONS FOR OBJECTION <i>(Please provide detailed reasons for the objection)</i>

Signed at this day of20.....

.....
Signature of data subject (applicant)

ANNEXURE D

**REQUEST FOR CORRECTION OR DELETION OF PERSONAL INFORMATION OR
DESTROYING OR DELETION OF RECORD OF PERSONAL INFORMATION IN TERMS OF
SECTION 24(1) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO.
4 OF 2013)**

**REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017
[Regulation 3(2)]**

Note:

- 1. Affidavits or other documentary evidence in support of the request must be attached.*
- 2. If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*

Reference Number..

Mark the appropriate box with an
"X".

Request for:

Correction or deletion of the personal information about the data subject which is in possession or under the control of the responsible party.

Destroying or deletion of a record of personal information about the data subject which is in possession or under the control of the responsible party and who is no longer authorised to retain the record of information.



A DETAILS OF THE DATA SUBJECT	
Surname:	
Full names:	
Identity number:	
Residential, postal or business address:	
	Code ()
Contact number(s):	
Fax number:	
E-mail address:	
B DETAILS OF RESPONSIBLE PARTY	
Name and surname of responsible party <i>(if the responsible party is a natural person)</i> :	
Residential, postal or business address:	
	Code ()
Contact number(s):	
Fax number:	
E-mail address:	

Name of public or private body <i>(if the responsible party is not a natural person)</i> :	
Business address:	
	Code ()
Contact number(s):	
Fax number:	
E-mail address:	
C	REASONS FOR *CORRECTION OR DELETION OF THE PERSONAL INFORMATION ABOUT THE DATA SUBJECT/*DESTRUCTION OR DELETION OF A RECORD OF PERSONAL INFORMATION ABOUT THE DATA SUBJECT WHICH IS IN POSSESSION OR UNDER THE CONTROL OF THE RESPONSIBLE PARTY. <i>(Please provide detailed reasons for the request)</i>

* *Delete whichever is not applicable*

Signed at this day **of****20**.....

.....
Signature of Data subject



Annexure E

APPLICATION FOR THE ISSUE OF A CODE OF CONDUCT IN TERMS OF SECTION 61(1)(b) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017
[Regulation 5]

A	DETAILS OF PRIVATE OR PUBLIC BODY (APPLICANT)
----------	--

Indicate whether applicant is a private or a public body:	
List class of bodies, or of any industry, profession, or vocation, you represent: <i>(Attach proof of representation)</i>	
Business address:	
	Code ()
Contact number(s):	
Fax number:	
E-mail address	

B	DETAILS OF PERSON WHO COMPLETES THIS FORM
----------	--

Full names of person completing this Form:	
Capacity in body:	
Does the person completing this Form have the authorisation of the body he/she represents to lodge this application? <i>(Attach authorisation)</i>	
Business address <i>(if</i>	

<i>different from body's address):</i>	
Contact number(s):	
Fax number:	
E-mail address:	
C	REASONS FOR APPLICATION FOR INFORMATION REGULATOR TO ISSUE A CODE OF CONDUCT <i>(Please provide detailed reasons for the request)</i>

Signed at this day **of****20**.....

.....
Signature of person completing form

FORM 4

COMPLAINT REGARDING INTERFERENCE WITH THE PROTECTION OF PERSONAL INFORMATION/COMPLAINT REGARDING DETERMINATION OF AN ADJUDICATOR IN TERMS OF SECTION 74 OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)



REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017
[Regulation 7]

Note:

1. *Affidavits or other documentary evidence in support of the request must be attached.*
2. *If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*

:.....

Mark the appropriate box with an "x".

Complaint regarding:

Alleged interference with the protection of personal information

Determination of an adjudicator.

PART I	ALLEGED INTERFERENCE WITH THE PROTECTION OF THE PERSONAL INFORMATION <i>(Section 74(1) of the Protection of Personal Information Act, 2013 (Act No. 4 of 2013))</i>
A	PARTICULARS OF COMPLAINANT
Surname of complainant:	
Full names of complainant:	
Identity number of complainant:	
Residential, postal or business address:	
	Code ()
Contact number(s):	
Fax number:	
E-mail address:	
B	PARTICULARS OF BODY/RESPONSIBLE PARTY INTERFERING WITH PERSONAL INFORMATION

Full names and surname of person interfering with personal information (if the person is a natural person)	
Name of public or private body (if not a natural person):	
Residential address (if applicable,,: postal address or business address:	
	(Code)
Contact number(s):	
Fax number:	
E-mail address:	
C	REASONS FOR COMPLAINT (Please provide detailed reasons for the complaint)
PART II	GRIEVANCE REGARDING DETERMINATION OF ADJUDICATOR (Section 74(2) of the Protection of Personal Information Act, 2013 (Act No. 4 of 2013))
A	PARTICULARS OF COMPLAINANT
Surname of complainant:	
Full names of complainant:	
Identity number of complainant:	
Residential, postal or business address:	
	Code ()
Contact number(s):	
Fax number:	
E-mail address:	
B	PARTICULARS OF ADJUDICATOR



Full names and surname of adjudicator	
Name and surname of responsible party <i>(if it is a public or private body):</i>	
Name of responsible party <i>(if it is a public or private body):</i>	
Residential, postal or business address:	
	(Code.....)
Contact number(s):	
Fax number:	
E-mail address:	
C	REASONS FOR COMPLAINT <i>(Please provide detailed reasons for the grievance)</i>

Signed at this day **of****20**.....

.....
Signature of complainant/person aggrieved

FORM 5

NOTICE TO PARTIES: CONCILIATION REGARDING INTERFERENCE WITH THE PROTECTION OF PERSONAL INFORMATION IN TERMS OF SECTION 76 OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017 [Regulation 8 (4)]

Reference Number.....

TO:

Contact number(s): _____

Facsimile number: _____

E-mail address: _____

(Name, address and contact details of party involved)

FROM:

Contact number(s): _____

Facsimile number: _____

E-mail address: _____

(Address and contact details of Regulator)

YOU ARE HEREBY INVITED:

To attend a conciliation meeting aton the day of at (*time*) and on any subsequent day that may be required, regarding the following matter:

Kindly confirm your attendance to the meeting on/before_____.

Dated at **this** **day of** **20**.....

.....
Regulator

THIS IS TO CERTIFY THAT

(Full names of conciliator)

has concluded a settlement in this matter

has not concluded a settlement in this matter

REMEDIAL ACTION TO BE TAKEN:

The nature of the remedial action:

The period within which the remedial action must be taken:

--

The reporting process:

Other compliance matters:



Dated at **this** **day of** **20**.....

.....
Conciliator

FORM 8

NOTICE TO PARTIES OF INTENTION OF REGULATOR TO INVESTIGATE COMPLAINT IN TERMS OF SECTION 79 OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017
[Regulation 9]

Reference Number

TO: _____
Residential, postal or business address: _____

Contact number(s): _____
Facsimile number: _____
E-mail address: _____

(Name, address and contact details of complainant/responsible party)

FROM: _____
Residential, postal or business address

Contact number(s): _____
Facsimile number: _____
E-mail address: _____

(Address and contact details of Regulator)

PART A	NOTICE TO DATA SUBJECT TO WHOM THE INVESTIGATION RELATES <i>(if not the complainant)</i> AND ANY PERSON ALLEGED TO BE AGGRIEVED <i>(if not the</i>
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YOU ARE HEREBY INFORMED THAT:

The Regulator intends to investigate the following matter:

Dated at this day of**20**.....

.....
Regulator

PART B	NOTICE TO RESPONSIBLE PARTY
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YOU ARE HEREBY INFORMED THAT:

The Regulator received a complaint and intends to investigate the following matter:

(Details of complaint or subject matter of the investigation)

Kindly note that you have the right to submit to the Regulator, **on/before**.....(date), a written response in relation to the *complaint/ Subject-matter of the investigation.

Dated at **this** **day of****20**.....

.....
 Regulator



FORM 9

NOTICE TO PARTIES IN TERMS OF SECTION 94 OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013 (ACT NO. 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017
[Regulation 10 (2)(a)]

FOR DEPARTMENTAL USE
Reference number: _____

TO: _____
Residential, postal or business address:

Contact number(s): _____

Facsimile number: _____

E-mail address: _____

(Name, address and contact details of data subject/complainant)

TO: _____
Residential, postal or business address:

Contact number(s): _____
Facsimile number: _____
E-mail address: _____
(Address and contact details of responsible party)

An investigation has been completed in terms of the Protection of Personal Information Act of 2013. Parties are hereby notified that an enforcement notice will not be issued as no interference with the protection of personal information of a data subject has taken place in terms of section 94(a)

Dated at **this** **day of** **20**.....

.....
Regulator

**FORM 10
REFERRAL TO ENFORCEMENT COMMITTEE IN TERMS OF
SECTION 92 OF THE PROTECTION OF PERSONAL INFORMATION ACT 4 OF 2013)
REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017**

[Regulation 10(2)(b)]

FOR DEPARTMENTAL USE	Reference number: _____
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TO: _____
Residential, postal or business address:

Contact number(s): _____
Facsimile number: _____
E-mail address: _____
(Name, address and contact details of data subject/complainant)

TO: _____
Residential, postal or business address:

Contact number(s): _____
Facsimile number: _____
E-mail address: _____

Deutsche Bank



(Address and contact details of responsible party)

Complaint received from:

(Full names and surname)

Date received:

Responsible party:



(Full names)

An investigation has been completed in terms of the Protection of Personal Information Act of 2013. Parties are hereby notified that:

A finding of

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.....
.....

FORM 16
REQUEST FOR AN ASSESSMENT
SECTION 89 OF THE PROTECTION OF PERSONAL INFORMATION ACT 4 OF 2013)

REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017
[Regulation 11(1)]

FOR DEPARTMENTAL USE	
Reference number: _____	
PART I	REQUEST FOR AN ASSESSMENT <i>(Section 89(1) of the Protection of Personal Information Act, 2013 (Act No. 4 of 2013))</i>
A request is hereby made in terms of section 89 of the Protection of Personal Information Act 4 of 2013 that the Information Regulator must assess whether the processing of information complies with the provisions of the Act:	
1. CONTACT DETAILS	
REQUESTER:	
Name:	
Address:	
.....	
.....	
Contact numbers:	
E-mail address:	
RESPONSIBLE PARTY:	
N	
Address:	
.....	
.....	
Contact numbers:	
E-mail address:	
.....	
2. INFORMATION PROCESSING TO BE ASSESSED	
.....	
.....	
.....	
.....	

3. PERSONS AFFECTED BY THE RELEVANT INFORMATION PROCESSING PRACTICE/S

.....
.....
.....
.....

4. THE REASON WHY AN ASSESSMENT IS REQUESTED

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.....
.....
.....

5. SPECIFIC ASPECTS OF THE PROCESSING OF INFORMATION THAT THE ASSESSMENT SHOULD ADDRESS

.....
.....
.....
.....

6 TIME

I first become aware that the processing of information should be assessed on:

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

Explain the reasons for the delay (if any) in requesting the assessment:

.....
.....
.....
.....

7. DATA SUBJECT PARTICIPATION:

Does the requester:

Have the right to access personal information held by the responsible party in terms of section 23 of the Protection of Personal Information Act 4 of 2013:

Yes No Not applicable

Have to right to request the responsible party to correct personal information in terms of section 24 of the Protection of Personal Information Act 4 of 2013:

Yes No Not applicable

Signed on this ___ day of _____ 20...

Requester _____

PART II

NOTICE OF A DECISION TO CONDUCT AN ASSESSMENT
(Section 89(1) of the Protection of Personal Information Act, 2013 (Act No. 4 of 2013))

1. NOTICE OF A DECISION TO CONDUCT AN ASSESSMENT

The Regulator has decided to conduct an assessment in terms of section 89(1) of the Protection of Personal Information Act 4 of 2013 on its own initiative.

2. INFORMATION PROCESSING TO BE ASSESSED

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.....
.....

3. PERSONS AFFECTED BY THE RELEVANT INFORMATION PROCESSING PRACTICE/S

.....
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.....
.....

4. THE REASON WHY AN ASSESSMENT IS TO BE CONDUCTED

.....
.....
.....
.....

5. SPECIFIC ASPECTS OF THE PROCESSING OF INFORMATION THAT THE ASSESSMENT SHOULD ADDRESS

.....
.....
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Signed on this ___ day of _____ 20...

Regulator _____