

## **PRIVACY NOTICE – PROTECTION OF PERSONAL INFORMATION ACT (“POPIA”)**

We understand that your personal information is important to you and that you may be apprehensive about disclosing it. Your privacy is just as important to us and we are committed to safeguarding and processing your information in a lawful manner.

We also want to make sure that you understand how and for what purpose we process your information. If for any reason you think that your information is not processed in a correct manner, or that your information is being used for a purpose other than that for which it was originally intended, you can contact our Information Officer.

You can request access to the information we hold about you at any time and if you think that we have outdated information, please request us to update or correct it.

<b>Our Information Officer’s Contact Details</b>	
Name	Brett Moore
Contact Number	021 464 3100
Email Address:	POPI@graaffs.co.za

Graaffs Trust Limited is an authorised financial services provider with FSP no. 709.

We render financial services in the following product categories:

- Shares
- Money Market instruments
- Debentures and securities debt
- Warrants, certificates and other instruments
- Bonds
- Participatory interest in a collective investment scheme
- Short-term Deposits
- Structured Deposits
- Long-term Deposits
- Participatory interest in a hedge fund

### **The source of collection of your personal information:**

We collect personal information directly from the following data subjects:

- Prospective clients who enquire about our financial services
- Clients to whom we provide financial services
- Clients when assisting them with other services including drafting of wills, estate planning and estate administration, tax, trust administration, Company Secretarial, accounting and related services
- Tenants to conclude lease agreements

Personal information is collected directly from you through the completion of client contact information, during consultations or per emails, electronic messages and / or telephone calls. These forms are completed either electronically or in hard copy. You may also be requested to provide your personal information during your consultation with a representative.

We may also collect information about you from other sources such as external third parties.

### **Law authorising or requiring collecting of the personal information:**

As an authorised financial services provider, we are obligated in terms of the following legislation to collect your personal information insofar as it relates to the rendering of the relevant financial, legal and fiduciary services to you:

- Financial Advisory and Intermediaries Services Act;
- Estate Duty Act;
- Financial Intelligence Centre Act;
- Administration of Estates Act;
- Trust Property Control Act;
- Companies Act;
- Collective Investment Schemes Control Act;
- Electronic Communications and Transactions Act;
- Consumer Protection Act;
- Income Tax Act;
- National Credit Act;
- Prevention of Organised Crime Act;
- Prevention and Combatting of Corrupt Activities Act;
- Protection of Constitutional Democracy against Terrorist and related Activities Act;
- Value Added Tax Act.

#### **Purpose for Processing your Information:**

We collect, hold, use and disclose your personal information mainly to provide you with access to the services and products that we provide. We will only process your information for a purpose you would reasonably expect, including:

- Complying with the obligations contained in the contract concluded between yourself and Graaafs Trust Limited
- Providing you with advice, products and services that suit your needs as requested
- To verify your identity
- To confirm, verify and update your details
- To comply with any legal and regulatory requirements

Some of your information that we hold may include, your first and last name, email address, a home, postal or other physical address, other contact information, your title, birth date, gender, occupation, qualifications, past employment, residency status, your investments, assets, liabilities, insurance, income, expenditure, family history, medical information and your banking details.

Some of the aforementioned personal information may be mandatory to provide within the context of product providers' requirements and disclosures.

Failing to provide compulsory information may lead to our organisation's inability to carry out the functions necessary to perform as an authorised financial services provider.

#### **Third parties and your personal information**

We may need to share your information to third parties who provide advice, reports, analyses, products or services that you have requested. Where we share your information, we will take all precautions to ensure that the third party will treat your information with the same level of protection as required by us.

These third parties may include:

- The Compliance Officer of the organisation (where applicable);
- Information Technology specialists assisting us with data storage, security, processing, analytics, etc;
- Auditors of the Organisation;
- Financial Institutions;
- The South Africa Revenue Service;
- Regulatory or governmental authorities such as the Financial Sector Conduct Authority and the Prudential Authority;
- Private providers

#### **The Transfer of your personal information outside of the Republic of South Africa**

When we are obliged to transfer your personal information outside the Republic of South Africa, we confirm that the level of protection afforded to your personal information by that third country or international organisation is equal to the protection afforded by the POPI Act.

### **Complaints and objections**

As a data subject, you have the right to –

- Request that we confirm, free of charge, whether or not we hold personal information about you;
- Request that we provide you with a description of the personal information we hold about you, and to explain why and how it is being processed (please complete Annexure A);
- Request that we consider your objections to the processing of your personal information (please complete Annexure B);
- Lodge a complaint with the Information Regulator (please complete Annexure B).

### **The Information Regulator**

In the event that your personal information has not been processed in accordance with the POPI Act and the principles set out above, you have the right to lodge a complaint with the Information Regulator.

For further information regarding the complaints process, please visit the website of the Information Regulator, as indicated below.

Alternatively, you may contact the Information Regulator for further assistance:

The Information Regulator: Adv Pansy Tlakula

Physical Address: JD House, 27 Stiemens Street, Braamfontein, Johannesburg, 2001

Email: [complaints.IR@justice.gov.za](mailto:complaints.IR@justice.gov.za)

Website: <https://www.justice.gov.za/inforeg/index.html>

## **ANNEXURE A:**

# PERSONAL INFORMATION REQUEST FORM

**Please submit the completed form to the Information Officer:**

Name	Brett Moore
Contact Number	021 464 3100
Email Address:	POPI@graaffs.co.za

Please be aware that we may require you to provide proof of identification prior to processing your request.

There may also be a reasonable charge for providing copies of the information requested.

#### **A. Particulars of Data Subject**

Name & Surname	
Identity Number:	
Postal Address:	
Contact Number:	
Email Address:	

## B. Request

I request Graafts Trust Limited to:

- (a) Inform me whether it holds any of my personal information
- (b) Provide me with a record or description of my personal information
- (c) Correct or update my personal information
- (d) Destroy or delete a record of my personal information

### **C. Instructions**

**D. Signature Page**

**Signature**

Date

**ANNEXURE B:****POPI COMPLAINT FORM**

We are committed to safeguarding your privacy and the confidentiality of your personal information and are bound by the Protection of Personal Information Act.

**Please submit your complaint to the Information Officer:**

Name	Brett Moore
Contact Number	021 464 3100
Email Address:	POPI@graaffs.co.za

Where we are unable to resolve your complaint, to your satisfaction you have the right to complain to the Information Regulator.

**The Information Regulator:** Adv Pansy Tlakula

**Physical Address:** JD House, 27 Stiemens Street, Braamfontein, Johannesburg, 2001

**Email:** complaints.IR@justice.gov.za

**Website:** <https://www.justice.gov.za/inforeg/index.html>

**A. Particulars of Complainant**

Name & Surname	
Identity Number:	
Postal Address:	
Contact Number:	
Email Address:	

**B. Details of Complaint**

(15 lines for details of complaint)

**C. Desired Outcome**

(15 lines for desired outcome)

**D. Signature Page**

(Signature and Date fields)

Signature:

Date