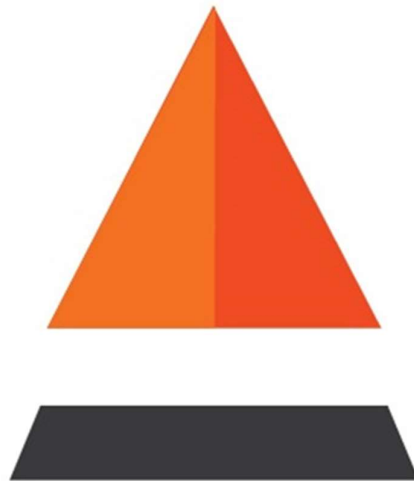


**PROTECTION OF PERSONAL
INFORMATION PRIVACY NOTICE**



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You can request access to the information we hold about you at any time and if you think that we have outdated information, please request us to update or correct it.

Our Information Officer's Contact Details	
Name	Robert Patrick barker
Contact Number	082 518 1278
Email Address	pat@wealthtap.co.za

Our Details

Company Name: Wealth Tap (Pty) Ltd

Physical and Postal Address: 33 Sandringham, 3 Duiker Road, Howick, 3290

Telephone number: 082 518 1278

Organisation E-mail address: pat@wealthtap.co.za

The Organisation is an authorised financial services provider with FSP number 45948. We render financial services in the following product categories:

Products Approved

Category Description	Advice Automated	Advice Non-automated	Intermediary Scripted	Intermediary Other
CATEGORY I				
Long-Term Insurance subcategory B1		X		X
Long-term insurance subcategory B2		X		X
Long-term Insurance subcategory B2-A		X		X
Long-term Insurance subcategory B1-A		X		X
Structured Deposits		X		X
Participatory interest in a hedge fund		X		X
Long-Term Insurance subcategory C		X		X
Retail Pension Benefits		X		X
Pension Funds Benefits		X		X
Shares		X		X
Money market instruments		X		X
Debentures and securitised debt		X		X
Warrants, certificates and other instruments		X		X
Bonds		X		X
Derivative instruments		X		X
Participatory interests in a collective investment scheme		X		X
Long-term Deposits		X		X
Short-term Deposits		X		X

Source of Collection of Personal Information

We collect personal information directly from the following data subjects:

- Prospective clients who enquire about our financial services;
- Clients who have appointed the representative as their broker; and
- Policyholders who enter into a policy with an insurer via the organisation.

Personal information is collected directly from you through the completion of a 'Confidential Portfolio and Needs Analysis' document in which the client provides personal information to the representative during consultation. These forms are completed either electronically or in hard copy. We may also collect information about you from other sources such as external third parties and from cookies on our website.

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 relating to the rendering of the relevant financial services to you:

- Financial Advisory and Intermediaries Services Act 37 of 2002;
- Financial Intelligence Centre Act 38 of 2001;
- Insurance Act 18 of 2017;
- Long-Term Insurance Act 52 of 1998;
- Protection Of Personal Information Act 4 of 2013; and
- Promotion of Access to Information Act 2 of 2000.

Purpose for Processing 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 the FSP;
- Providing you with advice, products and services that suit your needs as requested;
- To verify your identity and to conduct credit reference searches;
- To issue, administer and manage your insurance policies;
- To process insurance claims and to take recovery action;
- To notify you of new products or developments that may be of interest to you;
- To confirm, verify and update your details; and
- 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 and expenditure;
- family history and/or medical information; and
- your banking details.

Some of the aforementioned personal information may be mandatory to provide within the context of product providers' underwriting 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 Personal Information

We may need to share your information to third parties 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:

- Your employer (where applicable);
- The Compliance Officer of the organisation (where applicable);
- Analytics and search engine providers assisting in the enhancement of our websites;
- Information Technology specialists assisting us with data storage, security, processing, analytics and the like;
- Auditors of the Organisation;
- Regulatory or governmental authorities such as the Financial Sector Conduct Authority and the Prudential Authority;
- Product Providers.

Transfer of Personal Information Outside of the Republic of South Africa

Your information may be hosted on servers managed by a third-party service provider, which may be located outside of South Africa. The third-party service providers are located in:

- South Africa – KwaZulu-Natal, Johannesburg, Pretoria and Cape Town.

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 POPIA.

Complaints and Objections

As a data subject, you have the right to –

- Request the 'Protection of Personal Information – Privacy Policy' from Wealth Tap (Pty) Ltd from pat@wealthtap.co.za.
- 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 (complete and submit Annexure A to pat@wealthtap.co.za);
- Request that we consider your objection/s, correction/s or deletion/s to the processing of your personal information (complete and submit Form 1 or Form 2 to pat@wealthtap.co.za); and
- Lodge a complaint with the Information Regulator (online).

The Information Regulator

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

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

Website: <https://inforegulator.org.za/complaints/>

ANNEXURE A: PERSONAL INFORMATION REQUEST FORM**PERSONAL INFORMATION REQUEST FORM****Please submit the completed form to the Information Officer:**

Name

Contact Number

Email Address:

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 the organisation 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

FORM 1**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,
2021 [Regulation
2]**

Note:

1. If the space provided for in this Form is inadequate, submit information as an Annexure to this Form.
2. Complete as is applicable.

A	DETAILS OF DATA SUBJECT
Name(s) and surname/ registered name of data subject:	
Postal or business address:	
	Code ()
Contact number(s):	
Fax number / E-mail address:	
B	DETAILS OF RESPONSIBLE PARTY
Name(s) and surname/ Registered name of responsible party:	
Postal or business address:	
	Code ()
Contact number(s):	
Fax number/ E-mail address:	
C	REASONS FOR OBJECTION IN TERMS OF SECTION 11(3)(a) (Please provide detailed reasons for the objection)

Signed at this day of 20.....

.....
Signature of data subject/designated person

FORM 2

**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,
2021**

[Regulation 3]

Note:

- 1. Affidavits or other documentary evidence as applicable in support of the request may 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.*
- 3. Complete as is applicable.*

Mark the appropriate box with an "x".

Request for:

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

Please select applicable reasons for the selected request:

- | | |
|-------------------------|--------------------------|
| (a) Inaccurate | ☐ |
| (b) Irrelevant | ☐ |
| (c) Excessive | ☐ |
| (d) Out of Date | ☐ |
| (e) Incomplete | ☐ |
| (f) Misleading | ☐ |
| (g) Obtained unlawfully | ☐ |

- b) Destruction ☐ or deletion ☐ of a record of personal information about the data subject which is in the possession or under the control of the responsible party who is no longer authorised to retain the record of information.

A	DETAILS OF THE DATA SUBJECT
Name(s) and surname / registered name of data subject:	
Postal or business address:	
	Code ()
Contact number(s):	
Fax number/E-mail address:	
B	DETAILS OF RESPONSIBLE PARTY
Name(s) and surname / registered name of responsible party:	
Postal or business address:	
	Code ()
Contact number(s):	
Fax number/ E-mail address:	
C	PERSONAL INFORMATION TO BE CORRECTED/DESTROYED/DELETED (Please specify the personal information required to be corrected / destroyed / deleted)
D	EXPLANATION FOR THE SELECTED REASON FOR A REQUEST (Please provide detail explanation for the selected reasons for the request for correction or deletion of personal information which is in possession or under the control of the responsible party)

Signed at this day of20.....

.....
Signature of data subject/ designated person