

ULTIMA FINANCIAL PLANNERS



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 ULTIMA (PTY) LTD.

3.1. Chief Executive Officer

Name: Hendri de Klerk
Tel: 012 348 1386
Email: Hendri@ultimafp.co.za

3.2. Chief Information Officer

Name: Eugene Antak
Tel: 012 348 1386

Email: Eugene@ultimafp.co.za

3.3. Deputy Information Officer .

Name: Hendri de Klerk
Tel: 012 348 1386
Email: Hendri@ultimafp.co.za

3.3 Access to information general contacts

Email: info@ultimafp.co.za

3.4 **Head Office**

Postal Address: P O Box 191
MENLYN
0063
Pretoria

Physical Address: Glenfield Office Park
Ground Floor Block F
Oberon Road
FAERIE GLEN
0081
Pretoria

Telephone: 012 348 1386

Email: info@ultimafp.co.za

Website: www.ultimafp.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 PAIA¹ and section 56 of POPIA²;

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 11³; and

4.3.3.2. access to a record of a private body contemplated in section 50⁴;

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

¹ Section 17(1) of PAIA- *For the purposes of PAIA, each public body must, subject to legislation governing the employment of personnel of the public body concerned, designate such number of persons as deputy information officers as are necessary to render the public body as accessible as reasonably possible for requesters of its records.*

² Section 56(a) of POPIA- *Each public and private body must make provision, in the manner prescribed in section 17 of the Promotion of Access to Information Act, with the necessary changes, for the designation of such a number of persons, if any, as deputy information officers as is necessary to perform the duties and responsibilities as set out in section 55(1) of POPIA.*

³ Section 11(1) of PAIA- *A requester must be given access to a record of a public body if that requester complies with all the procedural requirements in PAIA relating to a request for access to that record; and access to that record is not refused in terms of any ground for refusal contemplated in Chapter 4 of this Part.*

⁴ Section 50(1) of PAIA- *A requester must be given access to any record of a private body if-*

- a) *that record is required for the exercise or protection of any rights;*
- b) *that person complies with the procedural requirements in PAIA relating to a request for access to that record; and*
- c) *access to that record is not refused in terms of any ground for refusal contemplated in Chapter 4 of this Part.*

- 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 14⁵ and 51⁶ 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 15⁷ and 52⁸ 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 22⁹ and 54¹⁰ regarding fees to be paid in relation to requests for access; and
- 4.3.10. the regulations made in terms of section 92¹¹.

⁵ Section 14(1) of PAIA- The information officer of a public body must, in at least three official languages, make available a manual containing information listed in paragraph 4 above.

⁶ Section 51(1) of PAIA- The head of a private body must make available a manual containing the description of the information listed in paragraph 4 above.

⁷ Section 15(1) of PAIA- The information officer of a public body, must make available in the prescribed manner a description of the categories of records of the public body that are automatically available without a person having to request access

⁸ Section 52(1) of PAIA- The head of a private body may, on a voluntary basis, make available in the prescribed manner a description of the categories of records of the private body that are automatically available without a person having to request access

⁹ Section 22(1) of PAIA- The information officer of a public body to whom a request for access is made, must by notice require the requester to pay the prescribed request fee (if any), before further processing the request.

¹⁰ Section 54(1) of PAIA- The head of a private body to whom a request for access is made must by notice require the requester to pay the prescribed request fee (if any), before further processing the request.

¹¹ Section 92(1) of PAIA provides that –“The Minister may, by notice in the Gazette, make regulations regarding-

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 English, for public inspection during normal office hours-

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

The following records are automatically available to any person requesting information and it is therefore not necessary to apply for access thereto in terms of the Act. See the Ultima website at <https://www.ultimafp.co.za>.

Ultima does not have any other categories of records which are automatically available without access having to be requested in terms of PAIA and as such no notice has been published.

6. DESCRIPTION OF THE RECORDS OF ULTIMA (PTY) LTD. WHICH ARE AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

All records kept and made available in terms of legislation applicable to any of the subjects listed in this Manual and the Financial Services Industry in general, and as it applies to the specific environment in which Ultima operates, are available in accordance with said legislation.

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- (a) any matter which is required or permitted by this Act to be prescribed;
 - (b) any matter relating to the fees contemplated in sections 22 and 54;
 - (c) any notice required by this Act;
 - (d) uniform criteria to be applied by the information officer of a public body when deciding which categories of records are to be made available in terms of section 15; and
 - (e) any administrative or procedural matter necessary to give effect to the provisions of this Act."

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

See annexure A attached hereto.

8. **PROCESSING OF PERSONAL INFORMATION**

8.1 Purpose of Processing Personal Information

Ultima collects and processes the personal information of clients pertaining to their financial planning needs and rendering of holistic financial planning services.

Our core services can be divided into the following categories:

- Pre-retirement planning;
- Post retirement planning;
- Investment planning;
- Estate planning;
- Business assurance planning; and
- Personal long term risk planning.

This may also include the processing of information:

- To confirm and verify your identity;
- As a measure for the detection and prevention of fraud, crime, money laundering and other malpractice;
- For audit and record keeping purposes;
- To comply with legal and regulatory requirements or industry codes which apply to us;
- For the accounting purposes of Ultima;
- In order to draft your will and administer your deceased estate;
- For couriers and delivery services relating to documents, parcels, gifts, gift vouchers, cards, client events and seminars; and
- As it relates to outsourcing to third parties, such as tax services or estate administration.

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

The Personal Information, as it relates to either a living natural or juristic person, which we collect includes, but is not limited to:

Information relating to 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;

Information relating to education, medical, financial, criminal or employment history;

Any identifying number, symbol, e-mail address, physical address, telephone number, location information, online identifier or other particular assignment;

Biometric information;

The personal opinions, views or preferences of the client;

Correspondence sent by the client 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 client; and

The name of the client if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the client.

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

The Data Subjects may be clients, service providers and employees.

8.4 Planned transborder flows of personal information

Except where clients invest in offshore investment products via Ultima, we do not effect any trans-border flows of information.

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

Back up and recovery plan

Cyber security systems and measures

Information security policies

Data privacy policies

Data encryption

Anti-virus and anti-malware solutions

8.6 Form C

Form 2 (attached hereto) is the prescribed form to request access to a record of a private body.

9. AVAILABILITY OF THE MANUAL

9.1 A copy of the Manual is available-

9.1.1 on www.ultimafp.co.za;

9.1.2 head office of ULTIMA (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 FEES IN RESPECT OF PRIVATE BODIES

As per quotation.

11 SIGNING AND UPDATING OF THE MANUAL

This manual will be updated on a regular basis and is duly signed by the CEO and Information Officer.

Hendri de Klerk

CEO

Eugene Antak

Information Officer

2026/07/14

Annexure A to PAIA Manual

Categories of records held by Ultima Financial Planners (Pty) Ltd.

1. Webpage – www.ultimafp.co.za
2. Financial records
3. Auditor
4. Credit Agreements
5. Distribution and Transportation
6. Health and Safety
7. Information Technology
8. Insurance
9. Legal Agreements and Contracts
10. Personnel Records
11. Sales and Marketing
12. Statutory company records
13. Taxation
14. Intellectual property