



MEMBER OF TRADING POINT GROUP

PAIA MANUAL



PAIA MANUAL

Prepared in accordance with Section 51 of the Promotion of Access to Information Act No. 2 of 2000 (the
“Act”)

XM ZA (Pty) Ltd

Regulated by the Financial Sector Conduct Authority (FSCA)

FSP No.: FSP49976 | **Email:** support@xmza.com | **Address:** Office 1101D, 11th Floor, 4 Bree Street, Portside Building, Cape Town, 8000, South Africa
XM ZA (Pty) Ltd acts solely as a direct marketer/intermediary in terms of the FAIS Act, rendering only an intermediary service (no market making) in relation to derivative products (CFDs) offered by XM Global Limited.



1. Definitions

Act (or PAIA)	Promotion of Access to Information Act No. 2 of 2000, as amended and in force from time to time.
Client	Any natural or juristic person that received or receives services from the Company
Conditions for Lawful Processing	The conditions for the lawful processing of Personal Information as fully set out in chapter 3 of POPI and in paragraph 12 of this Manual.
Data Subject	means the person to whom Personal Information relates
Manual	This PAIA Manual
IO	Information Officer
DIO	Deputy Information Officer
Minister	Minister of Justice and Correctional Services
Requester	A requester who is seeking access to a record containing personal information about the requester
Personal Information	Means information relating to an identifiable, living, natural person, and where it is applicable, an identifiable, existing juristic person, including, but not limited to – <ul style="list-style-type: none"> a. 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; b. Information relating to the education or the medical, financial, criminal or employment history of the person; c. Any identifying number, symbol, e-mail address, physical address, telephone number, location information, online identifier or other particular assignment to the person; d. The biometric information of the person; e. The personal opinions, views or preferences of the person; f. 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; g. The views or opinions of another individual about the person; and h. The name of the person if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the person.
Personnel	Any person who works for or provides services to or on behalf of the Company and receives or is entitled to receive remuneration and any other person who assists in carrying out or conducting the business of the Company, which includes, without limitation, directors (executive and non-executive), all permanent, temporary and part-time staff as well as contract workers.
POPI	Protection of Personal Information Act No.4 of 2013

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POPI Regulations	The regulations promulgated in terms of section 112(2) of POPI.
Private Body	Means – a. A natural person who carries or has carried on any trade, business or profession, but only in such capacity; b. A partnership which carries or has carried on any trade, business or profession; or c. Any former or existing juristic person, but excludes a public body.
Processing	Means any operation or activity or any set of operations, whether or not by automatic means, concerning personal information, including – a. The collection, receipt, recording, organisation, collation, storage, updating or modification, retrieval, alteration, consultation or use; b. Dissemination by means of transmission, distribution or making available in any other form; or c. Merging, linking, as well as restriction, degradation, erasure or destruction of information.
Regulator	Information Regulator
Republic	Republic of South Africa
SAHRC	The South African Human Rights Commission

Any other terms not described herein will have the meaning as ascribed to it in terms of PAIA or POPI.

2. Introduction

2.1. XM ZA (Pty) Ltd (the “**Company**” or “**us**” or “**we**”) is a private company registered in the Republic of South Africa under the company registration number 2018/527968/07. The Company is authorized and regulated by the Financial Sector Conduct Authority (“**FSCA**”) as a Financial Services Provider (FSP No. 49976) in relation to the provision of intermediary services in connection with derivative products. The Company operates under the Financial Advisory and Intermediary Services Act 37 of 2002 (“**FAIS Act**”) as amended or in force from time to time.

2.2. For the purpose of POPI and PAIA, the Company is defined as a Private Body. In accordance with the Company’s obligations in terms of POPI and PAIA, the Company has produced this Manual which sets out all information required by both PAIA and POPI.

3. Purpose of the PAIA Manual

3.1. This PAIA Manual is intended to ensure that the Company complies with POPI and PAIA and to strengthen the transparency and accountability within the Company by giving effect to the right to information that is required for the exercise or protection of any right and to actively promote a society in which the people of South Africa have effective access to information to enable them to exercise and protect their rights.

3.2. This Manual is useful for the public to:

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- 3.2.1. check the categories of records held by the Company which are available without a person having to submit a formal PAIA request;
- 3.2.2. have a sufficient understanding of how to make a request for access to a record of the Company, by providing a description of the subjects on which the Company holds records and the categories of records held on each subject;
- 3.2.3. know the description of the records of the Company which are available in accordance with any other legislation;
- 3.2.4. access all the relevant contact details of the IO and DIO who will assist the public with the records they intend to access;
- 3.2.5. know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;
- 3.2.6. know if the Company 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;
- 3.2.7. know the description of the categories of data subjects and of the information or categories of information relating thereto;
- 3.2.8. know the recipients or categories of recipients to whom the personal information may be supplied;
- 3.2.9. know if the Company 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
- 3.2.10. know whether the Company has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

3.3. Section 9, Chapter 3 of the Act recognizes that the right to access information cannot be unlimited and should be subject to justifiable limitations, including, but not limited to:

- Limitations aimed at the reasonable protection of privacy;
- Commercial confidentiality; and
- Effective, efficient and good governance;

and in a manner which balances that right with any other rights, including such rights contained in the Bill of Rights in the Constitution.

4. Contact Details

Business Name	XM ZA (Pty) Ltd
Registration Number	2018 / 527968 / 07
FSP License Number	49976
Registered Office	Office 1101D, 11th Floor, 4 Bree Street, Portside Building, Cape Town, 8000, South Africa
Postal Address	Office 1101D, 11th Floor, 4 Bree Street, Portside Building, Cape Town, 8000, South Africa
Information Officer	Mngadi Bongani

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Deputy Information Officer	Martin Ioannou
Email address(es)	support@xmza.com dpo@xmza.com

Additional information on how the Company processes Personal Information can be found at: <https://www.xmza.com/privacy-policy>.

5. Guide on how to use PAIA and how to obtain access to the guide

5.1. 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 POPI.

5.2. The Guide is available in each of the official languages and in braille.

5.3. The aforesaid Guide contains the description of-

5.3.1. the objects of PAIA and POPI;

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

5.3.2.1. the Information Officer of every public body, and

5.3.2.2. every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA¹ and section 56 of POPI²;

5.3.3. the manner and form of a request for-

5.3.3.1. access to a record of a public body contemplated in section 11³; and

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

5.3.4. the assistance available from the IO of a public body in terms of PAIA and POPI;

5.3.5. the assistance available from the Regulator in terms of PAIA and POPI;

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-*

- that record is required for the exercise or protection of any rights;*
- that person complies with 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.*

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5.3.6.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 POPI, including the manner of lodging-

5.3.6.1. an internal appeal;

5.3.6.2. a complaint to the Regulator; and

5.3.6.3. 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;

5.3.7.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;

5.3.8.the provisions of sections 15⁷ and 52⁸ providing for the voluntary disclosure of categories of records by a public body and private body, respectively;

5.3.9.the notices issued in terms of sections 22⁹ and 54¹⁰ regarding fees to be paid in relation to requests for access; and

5.3.10. the regulations made in terms of section 92¹¹.

5.4. 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.

5.5. The Guide can also be obtained-

5.5.1. upon request to the Information Officer (by submitting the Form attached hereto as **Appendix A**);

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

6. The latest notice in terms of Section 52(2) of PAIA

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-

(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.”

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6.1. At this stage no notice(s) has/have been published on the categories of records that are available without having to request access to them in terms of PAIA.

7. Duties of the IO

- 7.1. The Information Officer is responsible for:
- 7.1.1. Publishing and proper communication of the manual i.e. creating policy awareness
 - 7.1.2. The facilitation of any request for access
 - 7.1.3. Providing adequate notice and feedback to the requester
 - 7.1.4. Determining whether to grant a request for access to a complete/full record or only part of a record
 - 7.1.5. Ensuring that access to a record, where so granted, is provided timeously and in the correct format
 - 7.1.6. Reviewing the manual for accuracy and communicating any amendments
- 7.2. The Information Officer must provide access to any record held by the Company to a requester if:
- 7.2.1. The record is required for the exercise or protection of any right, and
 - 7.2.2. The requester complies with the procedural requirements relating to a request for access to that record, and
 - 7.2.3. Access to that record is not refused in terms of any of the grounds for refusal listed herein.

8. Request procedural requirements

- 8.1. The requester must comply with all the procedural requirements contained in the Act relating to the request for access to a record.
- 8.2. The requester must complete the relevant Form(s) – depending on the request - enclosed herewith (refer to **Appendix B**) and submit it along with the payment of a request fee and a deposit (if applicable) to the IO or the DIO at the postal or physical address, fax number or electronic mail address as noted in clause 4 above.
- 8.3. The prescribed form must be filled in with sufficient information to enable the IO or the DIO to identify:
- the record or records requested; and
 - the identity of the requester.
- 8.4. The requester must state that he / she requires the information in order to exercise or protect a right, and clearly state what the nature of the right is so to be exercised or protected. The requester must clearly specify why the record is necessary to exercise or protect such a right.
- 8.5. Where a request for access has been received, the IO will notify the requester of the receipt and the prescribed fee (if any) that is payable prior to processing the request. Please refer to section 11 for a full breakdown of fees payable.

The notice must state:

- The amount of the deposit payable (if any)
 - That the requester may lodge a complaint with the Regulator or an application with a court; against the tender or payment of the request fee, or the tender or payment of a deposit, as the case may be; and
 - The procedure (including the period) for lodging the complaint with the Information Regulator or the application.
- 8.6. Except to the extent that the provisions regarding third party notification may apply, the IO to whom the request is made, must as soon as reasonably possible, but in any event within thirty (30) days, after the request has been received in the prescribed format:

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- Decide in accordance with PAIA whether to grant the request; and
- Notify the requester of the decision and, if the requester stated that he or she wishes to be informed of the decision in any other manner, inform him or her in that manner, if it is reasonably possible.

If the request for access is granted, the notice must state:

- The access fee (if any) to be paid upon access;
- The form in which access will be given; and
- That the requester may lodge a complaint with the Regulator or an application with a court against the access fee to be paid or the form of access granted, and the procedure, including the period allowed, for lodging a complaint with the Regulator or the application.

If the request for access is refused, the notice must:

- State adequate reasons for the refusal, including the relevant provision of PAIA that was relied on;
- Exclude, from any such reasons, any reference to the content of the records; and
- State that the requester may lodge a complaint with the Regulator or an application with a court against the refusal of the request, and the procedure (including the period) for lodging a complaint with the Regulator or the application.

Should all reasonable steps have been taken to find a record requested, and there are reasonable grounds for believing that the record:

- Is in the Company's possession, but cannot be found; or
- Simply does not exist,

the IO must, by way of affidavit or affirmation, notify the requester that it is not possible to provide access to that record. The affidavit or affirmation must provide full account of all steps taken to find the record in question or to determine whether the record exists, as the case may be, including all communication with every person who conducted the search on behalf of the IO.

- 8.7. If a request is made on behalf of another person, the requesting person must submit proof of the capacity in which he / she is making the request to the reasonable satisfaction of the IO.
- 8.8. All information as listed herein should be provided, and failing which the process will be delayed until the required information is provided. The prescribed time periods will not commence until the requester has furnished all the necessary and required information. The IO shall sever a record, if possible, and grant only access to that portion requested and which is not prohibited from being disclosed.
- 8.9. The outcome of the request and the fees payable will be provided in the form of the prescribed Form 3 in **Appendix C** enclosed hereto.

9. Refusal of access to records

- 9.1. The Information Officer must assess whether there are any grounds for refusing a request for access. Where any grounds for refusal are found, a request for access will not be granted. Where there are no grounds for refusal, request for access will be granted.
- 9.2. Despite finding any grounds for refusal, access to the record(s) will be provided where:
 - 9.2.1. the disclosure of the record would reveal evidence of a substantial contravention of, or failure to comply with the law or imminent and serious public or environmental risk; and
 - 9.2.2. the public interest in disclosing record, will clearly outweigh the harm contemplated in the provision in question.
- 9.3. If a request for access is made with regards to a record containing information that would justify a ground for refusal, every part of the record which:

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- 9.3.1. does not contain; and
 - 9.3.2. can reasonably be severed from any part that contains, any such information must, despite any other provision of PAIA, also be disclosed.
- 9.4. The main grounds for the Company to refuse a request for information relate to the:
- 9.4.1. mandatory protection of the privacy of a third party who is a natural person or a deceased person (section 63) or a juristic, as included in the Protection of Personal Information Act 4 of 2013, which would involve the unreasonable disclosure of personal information of that natural or juristic person;
 - 9.4.2. mandatory protection of personal information and for disclosure of any personal information to, in addition to any other legislative, regulatory or contractual agreements, comply with the provisions of the Protection of Personal Information Act 4 of 2013;
 - 9.4.3. mandatory protection of the commercial information of a third party (section 64), if the record contains:
 - trade secrets of the third party;
 - financial, commercial, scientific or technical information which disclosure could likely cause harm to the financial or commercial interests of that third party;
 - information disclosed in confidence by a third party to the Company, if the disclosure could put that third party at a disadvantage in negotiations or commercial competition;
 - 9.4.4. mandatory protection of confidential information of third parties (section 65) if it is protected in terms of any agreement;
 - 9.4.5. mandatory protection of the safety of individuals and the protection of property (section 66);
 - 9.4.6. mandatory protection of records which would be regarded as privileged in legal proceedings (section 67);
 - 9.4.7. The commercial activities (section 68) of a private body, such as the Company, which may include:
 - trade secrets of the Company;
 - financial, commercial, scientific, or technical information which disclosure could likely cause harm to the financial or commercial interests of the Company;
 - information which, if disclosed could put the Company at a disadvantage in negotiations or commercial competition;
 - a computer program which is owned by the Company, and which is protected by copyright;
 - the research information (section 69) of IFX Brokers or a third party, if its disclosure would disclose the identity of IFX Brokers™, the researcher or the subject matter of the research and would place the research at a serious disadvantage.
 - 9.4.8. mandatory protection of research information of third party, and protection of research information of the Company (section 69, if its disclosure would disclose the identity of the Company, the researcher or the subject matter of the research and would place the research at a serious disadvantage; and
 - 9.4.9. Requests for information that are clearly frivolous or vexatious, or which involve an unreasonable diversion of resources shall be refused.
- 9.5. All requests for information will be assessed on their own merits and in accordance with the applicable legal principles and legislation.
- 9.6. If a requested record cannot be found or if the record does not exist, the IO shall, by way of an affidavit or affirmation, notify the requester that it is not possible to give access to the requested record. Such a notice will be regarded as a decision to refuse a request for access to the record concerned for the purpose of the Act. If the record should later be found, the requester shall be given access to the record in the manner stipulated by the requester in the prescribed form, unless the IO refuses access to such record.

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10. Remedies available upon refusal of request

10.1. Internal Remedies

The Company does not have an internal appeal procedure (and, as a Private Body, it is not obliged to have one). This means that any decision made by the IO regarding a request for access to information is final. Requesters will have to exercise such external remedies at their disposal if the request for information is refused, and the requestor is not satisfied with the answer supplied by the IO.

10.2. External Remedies

A requestor or a third party that is dissatisfied with the IO's refusal to disclose information, may in accordance with sections 56(3) (c) and 78 of PAIA, apply to a court for relief within 180 days of notification of the decision for appropriate relief.

11. Fees

11.1. The Act provides for two types of fees, namely:

- (a) A request fee, which is a form of administration fee to be paid by all requesters except personal requesters, before the request is considered. The request fee is not refundable; and
- (b) An access fee, which is paid by all requesters in the event that a request for access is granted. This fee is inclusive of costs involved by the Private Body in obtaining and preparing a record for delivery to the requester.

11.2. When the request is received by the IO/DIO, he/she shall by notice require the requester, other than a personal requester, to pay the prescribed request fee, before further processing of the request.

11.3. If the search for the record has been made and the preparation of the record for disclosure, including arrangement to make it available in the requested form, requires more than the hours prescribed (six), an additional deposit must be paid (of not more than one third of the access fee which would be payable if the request was granted).

11.4. A requester may lodge an application with a court against the render/payment of the fees and/or deposit.

11.5. The IO may withhold a record until the requester has paid the applicable fees.

11.6. Persons exempted from paying access fees:

- (a) persons who earn less than R14,712.00 per annum and married persons or a person and his/her life partner who earn less than R27,192.00 per annum are exempt from paying the request fee.
- (b) Personal requesters are exempt from paying the request fee.

11.7. The following fees shall be payable upon request by a requestor:

Request fee (Payable on every request)	R140.00
Photocopy of an A4 page or part thereof	R2.00
Printed copy of an A4 page or part thereof	R2.00
Hard copy on flash drive	R40.00

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(Flash drive to be provided by requestor)	
Hard copy on a compact disc (Compact disc to be provided by requestor)	R40.00
Hard copy on a compact disc (Compact disc to be provided by the Company)	R60.00
Transcription of visual images per A4 page	As per quotation of service provider
Copy of visual images	As per quotation of service provider
Transcription of an audio record per A4 page	R24.00
Copy of an audio record on flash drive (Flash drive to be provided by requestor)	R40.00
Copy of an audio on a compact disc (Compact disc to be provided by requestor)	R40.00
Copy of an audio on a compact disc (Compact disc to be provided by the Company)	R60.00
To search for and prepare the record for disclosure for each hour or part of an hour, excluding the first hour, reasonably required for such search and preparation	R145.00
To search for and prepare the record for disclosure for each hour or part of an hour, excluding the first hour, reasonably required for such search and preparation (Cannot exceed total cost)	R435.00
Postage, email or any other electronic transfer	Actual expense, if any

12. Records' Availability

12.1. The Company holds and/or processes the below records for the purposes of PAIA and POPI. Please refer to the Company's Privacy Policy for more information about its processing activities.

12.2. The following records are freely available or may be requested; however, it should be noted that there is no guarantee that the request will be honored. Each request will be evaluated in terms of PAIA and any other applicable legislation.

Category	Record Type	Availability	Purpose	
Publicly Available Information	All information related to the products and services are freely available on the Company's website	Freely Available on Company's website	Inform the public of the products and services offered	Organisation
	Website Information	Freely Available on Company's website	Inform the public of the products and services offered	Organisation

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Human Resources	Employment Applications	PAIA Request	Internal Referencing	Employees
	Employment Contracts and other quasi-legal records	PAIA Request	Contractual / Legal Obligation	Employees
	Employee personal information	PAIA Request	Legal Obligation & Internal Referencing	Employees
	Personnel records provided by employees and/or third-parties	PAIA Request	Legal Obligation & Internal Referencing	Employees
	Salary Records	PAIA Request	Internal Referencing	Employees
	Employee Benefits, including bonus	PAIA Request	Internal Referencing	Employees
	Personnel Records and Correspondence	PAIA Request	Internal Communications	Employees
	Training Records	PAIA Request	Internal Referencing	Employees
	Performance appraisal records and other related information	PAIA Request	Internal Referencing	Employees
	Leave Records	PAIA Request	Internal Referencing	Employees
	Disciplinary Records	PAIA Request	Statutory/Legal Obligation	Employees
	Employee Handbook / Policies	PAIA Request	Statutory / Legal Obligation	Organisation
	Medical Aid/Pension Fund related information	PAIA Request	Internal Referencing	Employees
Client/Website Visitors	Introduced Clients Information	PAIA Request/Data Subject Request	Internal Referencing	Clients
	Correspondence with Clients/website visitors	PAIA Request/Data Subject Request	Internal Communications	Clients
	Documentation prepared for Clients	PAIA Request/ Data Subject Request	Statutory Obligation	Clients
Legal/Regulatory and Administrative	Permits / Licenses	Freely Available	Regulatory/Statutory Requirement	Organisation
	Policies and Procedures	Freely Available	Regulatory/Statutory Requirement	Organisation
	Memorandum of Incorporation	PAIA Request	Regulatory/Statutory Requirement	Organisation
	Secretarial Records	PAIA Request	Regulatory/Statutory Requirement	Organisation
	Company Registration Documents	PAIA Request	Regulatory/Statutory Requirement	Organisation
	Statutory Registers	PAIA Request	Regulatory/Statutory Requirement	Organisation
	Minutes of Shareholder's meetings	PAIA Request	Regulatory/Statutory Requirement	Organisation
	Minutes of Director's meetings	PAIA Request	Regulatory/Statutory Requirement	Organisation
	Register of Directors	PAIA Request	Regulatory/Statutory Requirement	Organisation
	Share Certificates	PAIA Request	Regulatory/Statutory Requirement	Organisation

XM ZA (Pty) Ltd

Regulated by the Financial Sector Conduct Authority (FSCA)

FSP No.: FSP49976 | Email: support@xmza.com | Address: Office 1101D, 11th Floor, 4 Bree Street, Portside Building, Cape Town, 8000, South

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Third Party	Agreement with suppliers and service providers	PAIA Request	Contractual Obligations	Third Party
	Letters of Intent	PAIA Request	Contractual Obligations	Third Party
	Non-Disclosure Agreements	PAIA Request	Legal Risk Management	Third Party
	Power of Attorneys	PAIA Request	Internal Referencing	Third Party
	Lease Agreements	PAIA Request	Contractual Obligations	Third Party
Financial Records	Financial Statements and Accounting Records	PAIA Request	Statutory Requirement	Organisation
	Annual and Interim Reports	PAIA Request	Regulatory/Statutory Requirement/Internal Referencing	Organisation
	Management Accounts and Reports	PAIA Request	Internal Referencing	Organisation
	Banking Records and Statements (including electronic banking records)	PAIA Request	Internal Referencing	Organisation
	Tax Records	PAIA Request	Statutory Requirement	Organisation
	Asset Registers	PAIA Request	Internal Referencing	Organisation
	Ledgers	PAIA Request	Internal Referencing	Organisation
	Insurance Records	PAIA Request	Statutory Requirement	Organisation
Marketing	Published Marketing Material	PAIA Request	Internal Referencing	Organisation
	Marketing Strategies	PAIA Request	Internal Referencing	Organisation
	Online Advertisements	PAIA Request	Internal Referencing	Organisation
	Product/Service Performance records	PAIA Request	Internal Referencing	Organisation
Private Records	Annual and Interim Reports	PAIA Request	Statutory Requirement	Organisation
	Operational Records	PAIA Request		Organisation
	Databases (including client databases)	PAIA Request	Statutory Requirement	Organisation
	Internal Correspondence (including internal policies and procedures, product records, statutory records, records held by officials of the Company)	PAIA Request	Internal Referencing	Organisation
	Information Technology Records	PAIA Request	Internal Referencing	Organisation
	Trade secrets	PAIA Request	Internal Referencing	Organisation
	Domain Name Registrations	PAIA Request	Internal Referencing	Organisation
	Tradenam Registrations	PAIA Request	Internal Referencing	Organisation
	Trademark Registrations	PAIA Request	Internal Referencing	Organisation
	Auditor Details and Reports	PAIA Request	Statutory Requirement	Organisation

13. Records available in terms of any other legislation

13.1. Where applicable to its operations, the Company also retains statutory records and documents in terms of the legislation* listed below.

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Reference	Act
No 75 of 1997	Basic Conditions of Employment Act
No 71 of 2008	Companies Act
No 98 of 1978	Copyright Act
No 130 of 1993	Compensation for Occupational Injuries and Diseases Act
No 68 of 2008	Consumer Protection Act
No 108 of 1996	Constitution of the Republic of South Africa
No 25 of 2002	Electronic Communications and Transactions Act
No 55 of 1998	Employment Equity Act
No 37 of 2002	Financial Advisory and Intermediary Services Act
No 38 of 2001	Financial Intelligence Centre Act
No 19 of 2012	Financial Markets Act
No 58 of 1962	Income Tax Act
No 135 of 1998	Insider Trading Act
No 24 of 1936	Insolvency Act
No 38 of 1997	Intellectual Property Laws Amendment
No 66 of 1995	Labour Relations Act
No 85 of 1993	Occupational Health and Safety Act
No 24 of 1956	Pension Funds Act
No 121 of 1998	Prevention of Organised Crime Act
No 12 of 2004	Prevention and Combating of Corrupt Activities Act
No 2 of 2000	Promotion of Access to Information Act
No 4 of 2013	Protection of Personal Information Act
No 194 of 1993	Trademarks Act
No 63 of 2001	Unemployment Insurance Act
No 89 of 1991	Value Added Tax Act

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**Although we have used our best endeavours to supply a list of applicable legislation, it is possible that this list may be incomplete. Whenever it comes to our attention that existing or new legislation allows a Requester access on a basis other than as set out in PAIA, we shall update the list accordingly. If a Requester believes that a right of access to a record exists in terms of other legislation listed above or any other legislation, the Requester is required to indicate what legislative right the request is based on, to allow the Information Officer the opportunity of considering the request in light thereof.*

14. Purposes of Processing Personal Information

- 14.1. The Company uses Personal Information for the following purposes:
- Rendering services according to contractual agreements (if applicable);
 - Marketing and advertising;
 - Administration;
 - Staff administration;
 - Keeping accounts and records;
 - Compliance with tax, financial services and other laws / fulfilling its statutory obligations in terms of applicable legislation; and
 - Historical record keeping / recording statistics necessary to fulfil the Company's business objectives.

15. Categories of Data Subjects and Information Categories

- 15.1. The categories of data subjects in respect of whom the Company may process personal information and the categories of the personal information being processed are depicted below:

Data Subjects

- Clients/Prospective clients
- Employees / Job Applicants
- Contractors
- Directors/Officers/Shareholders
- Service providers
- Website visitors / Visitors to the Company's premises

Categories of Information

Personal information processed in relation to data subjects, includes, regarding:

- (a) **Natural persons:** name, title, gender, identity number, marital status, race, age, date of birth, language, education/academic information, professional experience/information including employment history, financial information including information about income and wealth (such as details about assets and liabilities, account balances, trading statements), tax related information, tax and financial statements and bank account details) and credit information, identity verification documents, physical and postal addresses and address verification documents, contact details (email address, telephone number), criminal checks/background, geo-location data (e.g. IP address), trading performance, disability.
- (b) **Juristic persons / entities:** names of contact persons, name of legal entity, physical and postal addresses, contact details, registration number, incorporation and company documents, tax related information, authorised signatories' details, details of shareholders, directors, beneficial owners and

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other group companies and financial information.

- (c) **Service Providers:** Name of entity, names of contact persons, CIPC registration information (where applicable), VAT numbers, physical and postal address, email address, contact numbers/information, information, tax related information, bank details, financial information and other company information.

16. Recipients or Categories of Recipients to whom the Personal Information may be disclosed

16.1. The Company may disclose your personal information to:

- Other entities belonging to the same group of companies as the Company and to group employees that have a need to know such information as part of their duties;
- Regulatory, statutory, law enforcement and governmental authorities or bodies;
- Service providers and specialist advisor who have been contracted to provide us with administrative, legal, financial, tax, compliance, insurance, research or other professional services;
- Introducing brokers/affiliates with whom we have a mutual business relationship;
- Third apps' providers when you use the Company's app(s) and communication systems that are provided to us by third-parties;
- Credit providers, credit reporting or reference agencies, courts of law, tribunals as required by law;
- Service providers for the provision of the required support in connection with website visits, and traffic monitoring;
- Banks and other financial institutions;
- Organisations involved in a potential transfer or sale of our all or part of our assets or business;
- Market research companies;
- The Regulator
- Any third-party where such disclosure is required in order to enforce or apply our terms and conditions of business or other relevant agreements;
- Anyone authorized by you.

16.2. We endeavour to disclose to these third-parties only the minimum Personal Information that is required to perform their contractual obligations to us and on a need-to-know basis. Our third-party service providers are not allowed to share or use the Personal Information we make available to them for any other purpose than to provide services to us and are required to be bound with strict confidentiality obligations and undertake to comply with all applicable data protection laws.

17. Planned transborder flows of personal information

17.1. If Personal Information is transferred outside of South Africa, the Company will only transfer such Personal Information upon ensuring that the transfer is lawful and that there are appropriate data security arrangements in place, as required by section 72 of POPI.

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

18.1. The Company has established and maintains reasonable, appropriate technical and organizational measures to ensure the integrity of the Personal Information in its control and that such information is kept secure and protected against unauthorized or unlawful processing, accidental loss, destruction, damage, alteration, disclosure or unauthorized access. We contractually mandate any third parties to which your personal information is transferred to do the same. Some of the security measures in place include, but are not limited to, the following:

- Strong password management and two-factor authentication for accessing the Company's systems;

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- Chinese walls;
- Firewalls, intrusion detection systems and virus scanning tools;
- Use of secure networks / encryption mechanisms when transmitting electronic data;
- Clean desk policy and security of physical records.

18.2. The Company regularly reviews our security controls and related processes to ensure that your personal information is secure. However, where there are reasonable grounds to believe that your personal information has been accessed or acquired by any unauthorized person, we will notify the Information Regulator and you, unless the Information Regulator or a public body responsible for detection, prevention or investigation of offences, informs us that notifying you will impede a criminal investigation.

19. Availability and updating of the Manual

19.1. The Company will update this PAIA Manual at such intervals as may be deemed necessary.

19.2. This PAIA Manual is available to view at the Company's premises: Office 202, Second Floor, 114 Bree Street, Cape Town, Western Cape, 8000, South Africa, as well as on its website: <https://www.xmza.com/>.

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APPENDIX A
FORM 1 - REQUEST FOR A COPY OF THE GUIDE
 [Regulations 3]

TO: The Information Officer

I,

Full Names:				
In my capacity as (<i>mark with "X"</i>):	Information Officer:		Other:	
Name of Public/Private Body (if applicable):				
Postal Address:				
Street Address:				
E-mail Address:				
Facsimile:				
Contact Numbers:	Tel. (B):		Cellular:	

Hereby request the following copy(ies) of the Guide:

Language (<i>mark with "X"</i>):	No of Copies	Language (<i>mark with "X"</i>):	No of Copies
Sepedi		Sesotho	
Setswana		siSwati	
Tshivenda		Xitsonga	
Afrikaans		English	
isiNdebele		isiXhosa	
isiZulu			

Manner of Collection (*mark with "X"*):

Personal Collection	Postal Address	Facsimile	Electronic Communication (Please Specify)

Signed at _____ this _____ day of _____ 20 ____.

Signature of Requester

XM ZA (Pty) Ltd

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APPENDIX B
FORM 2 – REQUEST FOR ACCESS TO RECORD
 [Regulations 7]

NOTE:

1. Proof of identity must be attached by the requester.
2. If requests made on behalf of another person, proof of such authorisation, must be attached to this form.

TO: The Information Officer

(Address)

E-mail Address: _____

Fax Number: _____

Mark with an "X"

- Request is made in my own name Request is made on behalf of another person

PERSONAL INFORMATION				
Full Names:				
Identity Number:				
Capacity in which request is made <i>(when made on behalf of another person):</i>				
Postal Address:				
Street Address:				
E-mail Address:				
Contact Numbers:	Tel. (B):		Facsimile:	
	Cellular:			
Full Name of person on whose behalf request is made <i>(if applicable):</i>				
Identity Number:				
Postal Address:				
Street Address:				
E-mail Address:				

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Contact Numbers:	Tel. (B):		Facsimile:	
	Cellular:			

PARTICULARS OF RECORD REQUESTED

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. (If the provided space is inadequate, please continue on a separate page and attach it to this form. All additional pages must be signed.)

Description of record or relevant part of the record:	
Reference number, if available:	
Any further particulars of record:	

TYPE OF RECORD

(Mark the applicable box with an "X")

Record is in written or printed form	
Record comprises virtual images <i>(this includes photographs, slides, video recordings, computer-generated images, sketches, etc.)</i>	
Record consists of recorded words or information which can be reproduced in sound	
Record is held on a computer or in an electronic, or machine-readable form	

FORM OF ACCESS

(Mark the applicable box with an "X")

Printed copy of record <i>(including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form)</i>	
--	--

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Written or printed transcription of virtual images (<i>this includes photographs, slides, video recordings, computer-generated images, sketches, etc.</i>)	
Transcription of soundtrack (<i>written or printed document</i>)	
Copy of record on flash drive (<i>including virtual images and soundtracks</i>)	
Copy of record on compact disc drive (<i>including virtual images and soundtracks</i>)	
Copy of record saved on cloud storage server	

MANNER OF ACCESS <i>(Mark the applicable box with an "X")</i>	
Personal inspection of record at registered address of public/private body (<i>including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form</i>)	
Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format (<i>including transcriptions</i>)	
E-mail of information (<i>including soundtracks if possible</i>)	
Cloud share/file transfer	
Preferred language <i>(Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available)</i>	

PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED <i>If the provided space is inadequate, please continue on a separate page and attach it to the Form. The requester must sign all the additional pages.</i>	
Indicate which right is to be exercised or protected	
Explain why the record requested is required for the exercise or protection of the aforementioned right:	

FEES	
a) <i>A request fee must be paid before the request will be considered.</i> b) <i>You will be notified of the amount of the access fee to be paid.</i> c) <i>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.</i> d) <i>If you qualify for exemption of the payment of any fee, please state the reason for exemption.</i>	

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Reason	

You will be notified in writing whether your request has been approved or denied and if approved the costs relating to your request, if any. Please indicate your preferred manner of correspondence:

Postal Address	Facsimile	Electronic Communication (Please Specify)

Signed at _____ this _____ day of _____ 20 ____.

Signature of Requester / Person on whose behalf request is made

FOR OFFICAL USE

<i>Reference Number:</i>	
<i>Request received by: (State Rank, Name and Surname of Information Officer)</i>	
<i>Date Received:</i>	
<i>Access Fees:</i>	
<i>Deposit (if any):</i>	

Signature of Information Officer

XM ZA (Pty) Ltd

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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, 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 _____

DETAILS OF DATA SUBJECT	
Name and Surname of Data Subject	
Residential, postal or business address	
Contact number(s)	
Fax number:	
E-mail address:	

DETAILS OF RESPONSIBLE PARTY	
Name and Surname of Responsible Party (if the Responsible Party is a natural):	
Residential, postal or business address	

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Contact number(s)	
Fax number:	
E-mail address:	
Name of Public Body or Private Body (if Responsible Party not a natural person):	
Business address:	
	Code ()
Contact number(s):	
Fax number:	
e-mail address:	

REASONS FOR OBJECTION <i>(Please provide detailed reasons for the objection)</i>

Signed at _____ this _____ day of _____ 20 ____.

Signature of Data Subject (Applicant)

XM ZA (Pty) Ltd

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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,
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"

1. Request For:

Correction or deletion of 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 authorized to retain the record of information.

DETAILS OF DATA SUBJECT	
Name and Surname of Data Subject	
Residential, postal or business address	
Contact number(s)	
Fax number:	
E-mail address:	
DETAILS OF RESPONSIBLE PARTY	
Name and Surname of Responsible Party (if the Responsible Party is a natural):	

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Residential, postal or business address	
Contact number(s)	
Fax number:	
E-mail address:	
Name of Public Body or Private Body (if Responsible Party not a natural person):	
Business address:	Code ()
Contact number(s):	
Fax number:	
e-mail address:	

<p>REASONS FOR</p> <p>*CORRECTION OR DELETION OF THE PERSONAL INFORMATION ABOUT THE DATA SUBJECT/</p> <p>*DESTRUCTION OR DELETION OF A RECORD OF PERSONAL INFORMATION ABOUT THE DATA SUBJECT WHICH IN IN THE POSSESSION OR UNDER THE CONTROL OF THE RESPONSIBLE PARTY</p> <p><i>(Please provide detailed reasons for the objection)</i></p>

Signed at _____ this _____ day of _____ 20 ____.

Signature of Data Subject

XM ZA (Pty) Ltd

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**APPENDIX C
FORM 3
OUTCOME OF REQUEST AND OF FEES PAYABLE
[Regulation 8]**

Note:

1. If your request is granted the—
 - (a) amount of the deposit, (if any), is payable before your request is processed; and
 - (b) requested record/portion of the record will only be released once proof of full payment is received.
2. Please use the reference number hereunder in all future correspondence.

Reference number: _____

TO: _____

Your request dated _____, refers.

1. You requested:

Personal inspection of information at registered address of public/private body (<i>including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form</i>) is free of charge. You are required to make an appointment for the inspection of the information and to bring this Form with you. If you then require any form of reproduction of the information, you will be liable for the fees prescribed in Appendix B.	
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OR

2. You requested:

Printed copies of the information (<i>including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form</i>)	
Written or printed transcription of virtual images (<i>this includes photographs, slides, video recordings, computer-generated images, sketches, etc</i>)	
Transcription of soundtrack (<i>written or printed document</i>)	
Copy of information on flash drive (<i>including virtual images and soundtracks</i>)	
Copy of information on compact disc drive (<i>including virtual images and soundtracks</i>)	
Copy of record saved on cloud storage server	

3. To be submitted:

Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format (<i>including transcriptions</i>)	
E-mail of information (<i>including soundtracks if possible</i>)	
Cloud share/file transfer	
Preferred language: (<i>Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available</i>)	

Kindly note that your request has been:

Approved

Denied, for the following reasons:

XM ZA (Pty) Ltd

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4. Fees payable with regards to your request:

Item	Cost per A4-size page or part thereof/item	Number of pages/items	Total
Photocopy			
Printed copy			
For a copy in a computer-readable form on:			
(i) Flash drive	R40.00		
• To be provided by requestor			
(ii) Compact disc	R40.00		
• If provided by requestor			
• If provided to the requestor	R60.00		
For a transcription of visual images per A4-size page	Service to be outsourced. Will depend on the quotation of the service provider		
Copy of visual images			
Transcription of an audio record, per A4-size	R24.00		
Copy of an audio record			
(i) Flash drive	R40.00		
• To be provided by requestor			
(ii) Compact disc	R40.00		
• If provided by requestor			
• If provided to the requestor	R60.00		
Postage, e-mail or any other electronic transfer:	Actual costs		
TOTAL:			

5. Deposit payable (if search exceeds six hours):

Yes

No

Hours of search	Amount of deposit (calculated on one third of total amount per request)

The amount must be paid into the following Bank account:

Name of Bank: _____
 Name of account holder: _____
 Type of account: _____
 Account number: _____
 Branch Code: _____
 Reference Nr: _____
 Submit proof of payment to: _____

Signed at _____ this _____ day of _____ 20 _____.

 Information Officer

XM ZA (Pty) Ltd

Regulated by the Financial Sector Conduct Authority (FSCA)

FSP No.: FSP49976 | Email: support@xmza.com | Address: Office 1101D, 11th Floor, 4 Bree Street, Portside Building, Cape Town, 8000, South Africa

XM ZA (Pty) Ltd acts solely as a direct marketer/intermediary in terms of the FAIS Act, rendering only an intermediary service (no market making) in relation to derivative products (CFDs) offered by XM Global Limited.