

**ASCOR Independent Wealth Managers CC**

**(Registration Number: 1998/064094)**

**Manual in terms of Section 51 of the Promotion of Access to  
Information Act, 2 of 2000**

# Promotion of Access to Information Act, 2 of 2000(The Act)

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## Section 51 Manual of Ascor Independent Wealth Managers CC (Registration number: 1998/064094)

### 1. Contact particulars

Head of Business:	Wouter Fourie	Information Officer:	Martin De Kock
Postal Address:	P.O.Box 131	Physical Address:	ASCPR House
	Persequor Park		Apex Corporate Park
	Pretoria		Quintin Brand Str
	0020		Persequor Park
Telephone number:	0861113187		
E-mail address:	<a href="mailto:martin@ascor.co.za">martin@ascor.co.za</a>		
Website:	<a href="http://www.ascor.co.za">www.ascor.co.za</a>		

### 2. Introduction

Financial Planning Practice with Audit, Tax, Secretarial and Estate services

### 3. Guide in terms of Section 10 of The Act

Any person who wishes to exercise any right contemplated in The Act may obtain a copy of the information guide issued by the Human Rights Commission in all official languages, from the Human Rights Commission, tel. (011) 887-3600.

### 4. Facilitation of request for access to information

Information which is not readily available as indicated in this manual, may be requested in accordance with the procedure prescribed in terms of the Act. Copies of the prescribed forms to be completed for submitting a request, are available from ASCOR Independent Wealth Managers CC.

### 5. Information available in terms of other legislation

Information is available in terms of certain provisions of the following legislation:

5.1 Administration of Estates Act 66 of 1965

5.2 Basic Conditions of Employment Act 75 of 1997

5.3 BBBEEE Act 53 of 2003

5.4 Companies Act 71 of 2008

- 5.5 Close Corporations Act 69 of 1984
- 5.6 Compensation for Occupational Injuries and Health Diseases Act 130 of 1996
- 5.7 Consumer Protection Act 68 of 2008
- 5.8 Electronic Communications and Transactions Act 25 of 2002
- 5.9 Employment Equity Act 55 of 1998
- 5.10 Estate Duty Act 45 of 1955
- 5.11 Financial Advisory and Intermediary Services Act 37 of 2002
- 5.12 Financial Intelligence Centre Act 38 of 2001
- 5.13 Financial Relations Act 65 of 1976
- 5.14 Financial Services Board Act 97 of 1990
- 5.15 Income Tax Act 58 of 1962
- 5.16 Insolvency Act 24 of 1936
- 5.17 Labor Relations Act 66 of 1995
- 5.18 Long Term Insurance Act 52 of 1998
- 5.19 Medical Schemes Act 131 of 1998
- 5.20 National Credit Act 34 of 2005
- 5.21 Occupational Health and Safety Act 85 of 1993
- 5.22 Prevention of Organized Crime Act 121 of 1998
- 5.23 Protection of Constitutional Democracy Against Terrorist and Related Activities Act 33 of 2004
- 5.24 Promotion of Access to Information Act 2 of 2000
- 5.25 South African Revenue Services Act 34 of 1997
- 5.26 Short Term Insurance Act 53 of 1998
- 5.27 Skills Development Levies Act 9 of 1999
- 5.28 Skills Development Act 97 of 1998

5.29 Transfer Duty Act 40 of 1949

5.30 Unemployment Contributions Act 4 of 2002

5.31 Unemployment Insurance Act 63 of 2001

5.32 Value Added Tax Act 89 of 1991

**6. Information automatically available**

The following categories of records are automatically available for inspection, purchase or photocopying:

6.1 Newsletters

6.2 Pamphlets / Brochures

6.3 Pricelists

6.4 Reports

6.5 Marketing and promotional material

6.6 [www.ascor.co.za](http://www.ascor.co.za)

**7. Information available in terms of The Act**

The subjects on which the business holds records and the categories on each subject are as listed below. Please note that a requestor is not automatically allowed access to these records and that access to them may or must be refused in accordance with section 62 to 69 of The Act

7.1 Accounting records

7.1.1 Annual financial statements and working papers

7.1.2 General ledger

7.1.3 Subsidiary ledgers (receivables, payables, etc)

7.1.4 Bank statements, cheque books, cheques

7.1.5 Customer and supplier statements and invoices

7.1.6 Deposit slips

7.1.7 Cash books and petty cash books

7.1.8 Fixed asset register

- 7.1.9 Tax returns and assessments
- 7.1.10 VAT Returns
- 7.1.11 Lease or instalment sale agreements
- 7.1.12 Insurance records
- 7.1.13 Investment records
- 7.1.14 Accounting officer's reports
- 7.1.15 Systems documentation
- 7.1.16 Capital expenditure
- 7.1.17 Credit agreements
- 7.1.18 Record of assets
- 7.1.19 Record of liabilities
- 7.1.20 Record of loans to related parties
- 7.1.21 Record of liabilities and obligations
- 7.1.22 Record of property held
- 7.1.23 Record of revenue
- 7.1.24 Record of expenses

## **7.2 Information Technology**

- 7.2.1 Agreements
- 7.2.2 Client database
- 7.2.3 Disaster recovery process and procedures
- 7.2.4 Hardware
- 7.2.5 Internet
- 7.2.6 Licenses
- 7.2.7 Systems support, programming and development
- 7.2.8 LAN Installations
- 7.2.9 Operating systems

7.2.10 Software packages

7.2.11 Telephone exchange equipment

7.2.12 Telephone lines. Leased lines and data lines

### **7.3 Insurance**

7.3.1 Claim records

7.3.2 Details of coverage limits and insurers

7.3.3 Insurance policies

### **7.4 Personnel Records**

7.4.1 Employee information records

7.4.2 Employee loans

7.4.3 Employee remuneration

7.4.4 Employment applications

7.4.5 Employee date of birth

7.4.6 Employment contracts

7.4.7 Employment Equity plan

7.4.8 Incentive schemes

7.4.9 IRP 5 and IT 3 certificates

7.4.10 Letters of appointment

7.4.11 Leave applications

7.4.12 Maternity Leave policy

7.4.13 Name and occupation of each employee

7.4.14 Payroll

7.4.15 Particulars of each employee

7.4.16 Personnel file

7.4.17 Policies and procedures

7.4.18 Recruitment and appointments

7.4.19 Salary and wage registers

7.4.20 Salary slips and wage records

7.4.21 Training and development

7.4.22 UIF, PAYE and SDL returns

7.4.23 Workmen's Compensation documents

## **7.5 Sales and Marketing**

7.5.1 Brochures, newsletters and marketing material

7.5.2 Customers

7.5.3 Products

7.5.4 Sales

7.5.5 Service and product information

## **7.6 Statutory Close Corporation Records**

7.6.1 Annual Statutory Returns

7.6.2 Founding statement and amendments

## **7.7 Tax**

7.7.1 Income tax returns

7.7.2 Provisional tax returns

7.7.3 Tax assessments

7.7.4 Documents relating to where the objection and appeal is lodged

7.7.5 Records relating to taxable gain or assessed capital loss

7.7.6 VAT Documents

7.7.7 Vendors Information


## **8. Requesting procedures**

A person who wants access to the records must complete the necessary request form, that is available at the offices of ASCOR Independent Wealth Managers CC. or can be accessed on [www.ahrc.org.za](http://www.ahrc.org.za) The completed request form must be sent to the address or fax number provided in this manual, and marked for the attention of the Information Officer.

## **9. Availability of the Manual**

Copies of this manual are available for inspection, free of charge, at the offices of ASCOR Independent Wealth Managers CC, from the South African Human Rights Commission and at [www.ascor.co.za](http://www.ascor.co.za)

**10. Signature**

<b>We confirm, to the best of our knowledge, and belief the accuracy and completeness of the information provided.</b>	
<b>Name of Information Officer: Martin De Kock</b>	
<b>Signature:</b>	 _____
<b>Date:</b>	<u>19-02-2020</u>