PAIA MANUAL

Prepared in terms of section 51 of the Promotion of Access to Information Act 2 of 2000 (as amended)

Webull Securities South Africa (Pty) Ltd, authorised and regulated by the Financial Sector Conduct Authority (in South Africa) as an authorised financial services provider (FSP No 50863).

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1. STATEMENT AND PURPOSE

This PAIA Manual (Manual) is developed in compliance with the Promotion of Access to Information Act, 2 of 2000 (PAIA), the Protection of Personal Information Act 4 of 2013 (POPIA), and relevant guidance issued by the Information Regulator (IR).

Section 32 of the Constitution of the Republic of South Africa, 1996, grants everyone the right of access to information held by public and private bodies when required for the exercise or protection of rights.

Section 23 of POPIA further entitles a data subject, upon providing adequate proof of identity, to:

- request confirmation, free of charge, on whether a responsible party holds personal information about them;
- request the record or description of such personal information, including the identity of all third parties with access to it;
- request that the responsible party:
  (a) correct or delete personal information in its possession or under its control that is inaccurate, irrelevant, excessive, out of date, incomplete, misleading, or obtained unlawfully; or
  (b) destroy or delete a record of personal information no longer authorised to be retained.

The PAIA gives effect to section 32 of the Constitution by providing a framework through which individuals may access information held by private bodies where such access is required for the exercise or protection of any rights. Where a request is made in terms of PAIA and the requester demonstrates why the information is required to exercise or protect a legal right, the body to which the request is made is obliged to give access to the requested information, except where PAIA expressly provides that the information may or must not be released. It is important to note that PAIA recognises certain limitations to the right of access to information including, but not exclusively, limitations aimed at the reasonable protection of privacy, commercial confidentiality, and effective, efficient, and good governance in a manner which balances that right with any other rights, including such rights contained in the Bill of Rights in the Constitution.

This manual, issued in terms of section 51 of the PAIA, sets out the categories of records held by Webull Securities South Africa ("Webull SA", "the Company ", "the financial services provider", "FSP") and the procedures for accessing such records. Through this manual, Webull SA affirms its dedication to making access to information practical, efficient, and consistent with the constitutional and data subject rights set out in the PAIA and POPIA.

2. SCOPE

This Manual applies to Webull SA and governs all operations, business activities, and records of the Company within the Republic of South Africa. It applies to all categories of information held by Webull SA, including administrative, operational, financial, client, employee, and compliance records, as outlined in this Manual.

3. DEFINITIONS AND MEANING

Meaning and interpretation of terms used in this Manual.

Conditions for Lawful Processing means the conditions for the lawful Processing of Personal Information as fully set out in POPIA and in section 16 of this Manual;

Company means Webull Securities South Africa Proprietary Limited, registration number 2016/498115/07 (Webull SA);

Webull Securities South Africa (Pty) Ltd, authorised and regulated by the Financial Sector Conduct Authority (in South Africa) as an authorised financial services provider (FSP No 50863).

Customer means any natural or juristic person that received or receives services or products from the Company;

Data Subject means the person to whom Personal Information relates, and includes both natural persons and juristic persons;

Deputy Information Officer means a person designated by the Company in terms of section 56 of POPIA to assist the Information Officer in the performance of their duties.

Employee means any person who works for, or provides services to or on behalf of the Company, and receives or is entitled to receive remuneration, which includes, without limitation, directors, permanent, temporary and part-time staff;

Information Officer means such person that has been registered as the information officer with the Information Regulator in terms of sections 55 and 56 of POPIA;

Manual means this manual prepared in accordance with section 51 of PAIA;

PAIA means the Promotion of Access to Information Act 2 of 2000, as amended or replaced from time to time;

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-

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;

POPIA means the Protection of Personal Information Act 4 of 2013, as amended or replaced from time to time;

POPIA Regulations means the regulations promulgated in terms of section 112(2) of POPIA;

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, Company, collation, storage, updating or modification, retrieval, alteration, consultation or use;

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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;

Record of, or in relation to, a public or Private Body, means any recorded information-
a) regardless of form or medium;
b) in the possession or under the control of that public or Private Body, respectively; and
c) whether or not it was created by that public or Private Body, respectively;

Requester, in relation to a Private Body, means any person, including, but not limited to, a public body or an official thereof, making a request for access to a record of that Private Body or any person acting on behalf of such person;

Request for Access, in relation to a Private Body, means a request for access to a Record of a Private Body in terms of section 50 of PAIA;

Responsible Party means a public or Private Body or any other person which, alone or in conjunction with others, determines the purpose of and means for Processing Personal Information; and

Special Personal Information means Personal Information concerning religious or philosophical beliefs, race or ethnic origin, trade union membership, political persuasion, health or sex life, biometric information, and criminal behaviour.

Capitalised terms used in this Manual have the meanings assigned to them in section 1 of the Protection of Personal Information Act 4 of 2013 and the Promotion of Access to Information Act 2 of 2000, as the context requires, unless otherwise defined in this Manual.

4. PURPOSE OF THE PAIA MANUAL

Webull SA is a "private body" as defined in the PAIA. Section 51 of PAIA requires that the Company, as a Private Body, compiles a Manual giving information to the public regarding the procedure to be followed when requesting information from the Company for the purpose of exercising or protecting rights. The Manual is not exhaustive of, nor does it comprehensively deal with, every procedure provided for in PAIA and POPIA. Requesters are advised to familiarise themselves with the provisions of PAIA and POPIA before making any request to the Company in terms of PAIA and POPIA.

The Company has compiled this Manual, not only to comply with the provisions of PAIA and POPIA, but also to foster a culture of transparency and accountability in our environment and to ensure that members of the public have effective access to information in the Company's possession which will assist them in the exercise and protection of their rights. Where information requested is not immediately available we will endeavour to make it available in a timely manner insofar as that is reasonably practicable in the circumstances.

This Manual sets out the procedure to be followed to facilitate a request for access to information as well as the following information:

- the categories of Records held by the Company which are available without a person having to submit a formal PAIA request;
- the purpose of processing of personal information, and the categories of data subjects and related information;
- the process for making a request for access to a record of the Company; including the subjects on which Webull SA holds records and the categories of records for each subject;
- a description of the records of the Company which are available in accordance with any other legislation;
- the contact details of the Information Officer and Deputy Information Officer responsible for assisting the public with the records they intend to access;
- a description of the guide on how to use PAIA, as updated by the Information Regulator and how to obtain access to the guide;

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- the recipients or categories of recipients to whom personal information may be supplied;
- any planned transborder flows of personal Information;
- a general description of the security measures implemented by the Company to ensure the confidentiality, integrity and availability of the information which is to be processed.

Nothing stated in this Manual shall limit, or constitute a waiver of, any of the rights of the Requester or the Company in terms of PAIA and POPIA.

The Company makes no representation and gives no undertaking or warranty that the information in this Manual or any other information provided by us to a requester is complete or accurate, or that such information is fit for any purpose. All users of any such information shall use such information entirely at their own risk, and the Company shall not be liable for any loss, expense, liability, or claims, of whatsoever nature or howsoever arising, resulting from any use of this Manual or any other information provided in this Manual or from any error therein

5. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION

Full name: Webull Securities South Africa Pty Ltd
Registration number: 2016/498115/07
Physical address: The Link, 173 Oxford Road, Rosebank, South Africa 2196
Phone number: 010 288 4000
Website: (https://www.webull.co.za/)

Information Officer	Ricardo Da Silva
Deputy Information Officer	Yolande Kolawole
Access to information email address	support@webull.co.za

6. GUIDANCE ON PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE

The Information Regulator has in terms of section 10(1) of PAIA amended, updated and made available a revised guide containing information reasonably required by a person wishing to exercise any right in terms of PAIA and POPIA (Guide).
The Guide is available in each of the official languages and in braille.

The Guide that has been published contains the following information:
- the objects of PAIA and POPIA;
- the postal and street address, phone and fax number, and if available, the electronic mail address of the Information Officer of:
    - every public body; and
    - every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA and section 56 of POPIA;
- the manner and form of a Request for Access to:
    - a Record of a public body; and
    - a Record held by a Private Body;
- assistance available from the Information Officer of a public body in terms of PAIA and POPIA;
- the assistance available from the Information Regulator in terms of PAIA and POPIA;
- all remedies in law regarding an act or an omission in respect of a right or duty conferred or imposed by PAIA and POPIA including how to lodge an internal appeal, a complaint to the Information Regulator and a court application;
- the requirements for a public body and Private Body, respectively, to compile a Manual, and how to obtain access to a Manual;
- the voluntary disclosure of categories of records by a public body and private body, respectively;

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- the notices issued in terms of sections 22 and 54 of PAIA regarding fees to be paid in relation to Requests for Access; and
- the regulations made in terms of section 92 of PAIA.

Members of the public can inspect or make copies of the Guide from the offices of the Company, including the office of the Information Regulator, during normal working hours.

A copy of this Guide is available for inspection upon request to the Information Officer of the Company during normal working hours. The Guide is available in English and Afrikaans. It is also available on the Information Regulator's website (https://www.justice.gov.za/inforeg/).

7. CATEGORIES OF RECORDS AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS

The following categories of records are automatically available for inspection, purchase, or photocopying to the described data subject requesting this information:

Category of data subject	Records
Any person	Products and services Records located on the Webull SA website (https://www.webull.co.za/)
Customer	Account statement Newsletters Products and services Records located on the Webull SA website (https://www.webull.co.za/)
Employee	Advertised posts Confirmation of employment Payslip Company policies and procedures

8. CATEGORIES OF RECORDS AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

The records listed below will not in all instances be provided to a Requester who requests them in terms of PAIA as the Requester is required to identify the right they are seeking to exercise or protect and provide an explanation as to why the requested record is required for the exercise or protection of that right. Furthermore, the request may be denied based on the grounds of refusal under PAIA.

The following legislation may be applicable to Webull SA:

Category of Records	Applicable Legislation
Employment records - each employee's name and occupation; the time worked by each employee; the	Basic Conditions of Employment Act, 1997

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Category of Records	Applicable Legislation
remuneration paid to each employee; and the date of birth of any employee under 18 years of age.	
Accounting records - information concerning the financial affairs of the Company, including purchase and sales records, general and subsidiary ledgers and other documents and books used in the preparation of financial statements; and copies of all reports presented at the annual general meetings of the Company; and copies of the Company's annual financial statements and accounting records. Constitutional Documents - a copy of the Company's Memorandum of Incorporation, and any amendments or alterations to it, rules of the Company; a record of the Company's current and past directors. Shareholder documents - notices and minutes of all shareholders meetings, including all resolutions adopted by shareholders; and any document that was made available by the Company to the holders of securities in relation to each such resolution; and a copy of the Company's securities register; and copies of any written communications sent generally by the Company to all holders of the Company's securities.	Companies Act, 2008
Director records - minutes of all meetings and director resolutions, or directors' committees, or the audit committee; records of the Company's directors including full name; identity number or date of birth; nationality and passport number, occupation; date of their most recent election or appointment as director; name and registration number of every other Company or foreign Company of which the person is a director. Company secretarial records - a record of the Company secretaries and auditors, including, in respect of each person appointed as Company secretary or auditor: the name of each such person; and the date of every such appointment; and if a firm or juristic person is appointed: the name, registration number and registered address.	
Sales records - records of each transaction containing the following: the supplier's full name, or registered business name, and VAT registration number, if any; the address of the premises at which, or from which, the goods or services were supplied; the date on which the transaction occurred; a name or description of any goods or services supplied or to be supplied; the unit price of any particular goods or services supplied or to be supplied; the quantity of any particular goods or	Consumer Protection Act, 2008

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Category of Records	Applicable Legislation
services supplied or to be supplied; the total price of the transaction, before any applicable taxes; the amount of any applicable taxes; and the total price of the transaction, including any applicable taxes.	
Employment records - records in respect of the Company's workforce, its employment equity plan, and any other records relevant to the Company's compliance with the Employment Equity Act, 1998.	Employment Equity Act, 55 of 1998
Financial records - Information pertaining to clients or prospective clients provided to verify a person's identity; information obtained concerning the nature of the business relationship; the intended purpose of the business relationship; and the source of the funds which the prospective client is expected to use in concluding transactions in the course of the business relationship; records of all transactions concluded in the course of the business relationship with the client, including, without limitation, the amount involved and the currency in which it was denominated; the date on which the transaction was concluded; the parties to the transaction; the nature of the transaction; business correspondence; and where the Company provides account facilities to clients, the identifying particulars of all accounts and the account files at the Company that are related to the transaction.	Financial Intelligence Centre Act, 38 of 2001
Records in respect of money and assets held on behalf of clients which confirm: the amount of money and financial products at year end held by the provider on behalf of clients; that such money and financial products were throughout the financial year kept separate from those of the business of the authorised financial services provider, and reports of any instance of non-compliance identified in the course of the audit and the extent thereof.	The Financial Advisory and Intermediary Services Act 37 of 2002 (FAIS Act)
The records and books of account of the financial institution.	The Financial Sector Regulation Act 9 of 2017
Accounting records - books of account, records or other accounting documents relating to the Company, including, without limitation, the amounts of remuneration paid or due by the Company to each employee; the amount of employees' tax deducted or withheld from the amounts of remuneration paid to employees; and the income tax reference number of each employee where that employee is registered as a taxpayer.	Income Tax Act, 58 of 1962

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Category of Records	Applicable Legislation
Employment records – records of all collective agreements; arbitration awards; and/or wage determinations.	Labour Relations Act, 1995
Employment records – a record of each recommendation made to the Company or an inspector regarding any matter affecting the health or safety of persons at the workplace.	Occupational Health and Safety Act, 85 of 1993
Pension fund records - The rules of the fund to which the Company's employees belong.	Pension Funds Act, 24 of 1956
The Company's PAIA Manual.	Promotion of Access to Information Act, 2000
Records containing Personal Information – personal information relating to: employees of the Company; the Company's Customers; the Company's suppliers/ vendors; the Company itself; and the Company's group of companies.	Protection of Personal Information Act, 2013
Learnership records - the learnership agreements between learners and the Company; and learners' contracts of employment, if applicable.	Skills Development Act, 97 of 1998
Records relating to the skills development levy.	Skills Development Levies Act, 9 of 1999
Records containing the Company's street address, and the business's branches; the names, identification numbers and monthly remuneration of each of its employees, and the address at which the employees are employed.	Unemployment Insurance Act, 63 of 2001
Unemployment Insurance records - the Company's contributions to the Unemployment Insurance Fund.	Unemployment Insurance Contributions Act, 4 of 2002

The above-mentioned Acts, as amended, apply and the list is not exhaustive.

9. CATEGORIES OF RECORDS AVAILABLE IN TERMS OF PAIA

In terms of section 51(1)(e) of the PAIA, Webull Securities South Africa (Pty) Ltd holds the categories of records listed below. These records are not automatically available. Access may only be granted in accordance with the procedure set out in this Manual, upon submission of a completed PAIA Request Form (Form 2) to the Information Officer, and subject to the payment of any prescribed fees.

In terms of section 50(1) of PAIA, a requester must identify the right they seek to exercise or protect and must provide an explanation of why the requested record is required for the exercise or protection of that right. Access to a record may further be refused on any applicable ground for refusal set out in Chapter 4 of PAIA.

The records listed below will not in all instances be provided to a requester. Each request will be considered on its own merits in accordance with PAIA.

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Categories of Records held include:

- **Administration**
  - Business registration documents (CIPC certificates, Memorandum of Incorporation)
  - Company policies and governance documents
  - Licences and authorisations (including Financial Sector Conduct Authority registrations, FAIS licences)
  - General administrative correspondence

- **Human Resources**
  - Employee records (contracts, payroll, leave records)
  - Advertised posts and recruitment information
  - Records of disciplinary hearings
  - Employee health and safety records

- **Operations**
  - Records relating to business conducted by the Company, including:
    - Sales records
    - Rebate records
  - Client onboarding and subscriber documentation
  - Contractor and service provider information
  - General business continuity and operational risk policies (to the extent not security-sensitive)

- **Client Registry**
  - Client onboarding and Know Your Client (KYC) / Financial Intelligence Centre Act (FICA) records
  - Personal particulars of clients (name, identity details, contact information)
  - Product particulars of clients (account types, portfolios, transaction history)
  - Client agreements and signed mandates
  - Records of client complaints and dispute resolution

- **Finance**
  - Annual financial statements and audited reports
  - Tax records and returns submitted to SARS
  - Commission and fee statements
  - Corporate banking records
  - Internal budgeting and financial management reports

- **Compliance and Legal**
  - Anti-Money Laundering (AML) and Counter-Terrorist Financing (CTF) compliance policies
  - Records relating to suspicious transaction reporting (to the extent disclosure is not prohibited by FIC Act)
  - Compliance monitoring and risk management frameworks
  - Regulatory correspondence and filings (e.g. FSCA, SARB, SARS)
  - POPIA compliance policies and records relating to processing of Personal Information
  - Legal agreements and contracts

- **Marketing and Communication**
  - Publicly distributed marketing material
  - Product brochures and fact sheets
  - Advertising and communication records with clients

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10. THE PROCEDURE FOR REQUESTING OUR RECORDS

The Requester must use the prescribed form to make the Request for Access to a record (These forms are also available from the Company's Information Officer whose contact details are in this Manual) and must comply with all the procedural requirements as contained in section 53 of PAIA relating to a Request for Access to a record. The Request must be made to the Company's postal address or the Information Officer's email address contained herein.

In certain instances, there is a prescribed fee (payable in advance where applicable) for requesting and accessing information in terms of PAIA. Details of these fees are contained in the request form. A Requester may also be called upon to pay the additional fees prescribed by regulation for searching for and compiling the information that is requested, including copying charges.

In terms of 54(3)(b) of PAIA a Requester may lodge a complaint with the IR or make 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.

It is important to note that access is not automatic – the Requester must provide sufficient detail on the request form to enable the Head to identify the record that the Requester is requesting, the right he/she is seeking to protect and explain why the record requested is required for the exercise or protection of that right. The Requester must provide sufficient detail on the Request form to enable the Head to identify the record and the Requester. The Requester must also indicate which form of access is required and specify its postal address or email address in the Republic.

The Requester must identify the right that is sought to be exercised or to be protected and provide an explanation as to why the requested record is required for the exercise of that right.

If the Request is made on behalf of another person, the Requester must submit proof of the capacity in which the Requester is making the Request to the satisfaction of the Head of the Company.

The Requester must use the prescribed **Form 2** annexed to the Manual to make the request for access to a record.

- Please see Annexure E.

The Requester will be notified in the manner indicated by him/her on the Request for Access form whether or not his/her request has been approved.

The completed request must be submitted, together with the prescribed fee where applicable, to the Information Officer at the postal or physical address or electronic mail address recorded in this Manual.

11. TIMELINE FOR PROCESSING REQUEST AND EXTENSION OF PRESCRIBED TIME PERIOD

The Company will process the Request for Access within 30 days of receipt of the Request for Access, unless the Request for Access is of such a nature that an extension of the prescribed time limit is necessitated in accordance with section 57 of PAIA. In the case of an extension of the time limit, the Requester has the right to lodge a complaint with the Information Regulator by following the process and completing the form prescribed by the IR. The Requester may also make an application with a court against the refusal of the request.

If, in addition to a written reply from the Information Officer, the Requester wishes to be informed of the decision on the Request for Access in any other manner, the Requester must state the manner and the particulars so required.

If an individual is unable to complete the prescribed form because of illiteracy or disability, such a person may make the request orally.

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The prescribed fee for reproduction of the record requested by a Personal Requester will be charged in accordance with PAIA.

If the search for a record of the Company in respect of which a Request for Access by a Requester has been made; and the preparation of that record for disclosure would, in the opinion of the Information Officer, require more than the hours prescribed for this purpose for Requesters, the Information Officer must by notice require the Requester to pay as a deposit the prescribed portion (being not more than one third) of the access fee which would be payable should the request be granted.

The Requester may lodge a complaint with the Information Regulator against the tender of the request fee or the tender or payment of a deposit, as the case may be.

12. THIRD PARTIES

If the Requester's interest affects a third party, then the Company will first need to inform the third party within 21 days of receiving the request and the third party will have 21 days to make representations and/or submissions regarding the granting of access to the record. If the Information Officer does decide to grant access to the record after considering these submissions, the third party that has been affected has 30 days in which to appeal the decision in the High Court or to lodge a complaint with the Information Regulator in the prescribed form. If no appeal or complaint is lodged within 30 days, the Requester must be granted access to the record.

13. GROUNDS FOR REFUSAL

In terms of Chapter 4 of the Promotion of Access to Information Act, 2000 ("PAIA"), a request for access to a record will be considered on a case-by-case basis. Webull Securities South Africa (Pty) Ltd may or must refuse access where one or more of the statutory grounds for refusal apply. These include:

- **Personal Information**: To protect the Personal Information of a third party, including that of a deceased person, from unreasonable disclosure (section 63).

- **Commercial Information of Third Parties**: Where the record contains trade secrets, or financial, commercial, scientific, or technical information, the disclosure of which could harm the commercial or financial interests of a third party (section 64).

- **Confidential Information**: If disclosure would result in the breach of a duty of confidence owed to a third party (section 65).

- **Safety and Property**: If disclosure could reasonably be expected to endanger the life or safety of an individual, or prejudice or impair the property of a third party (section 66).

- **Legal Privilege**: If the record is privileged from production in legal proceedings, unless the privilege has been waived (section 67).

- **Commercial Information of the Company**: If the record contains trade secrets, or sensitive financial, commercial, or technical information, the disclosure of which could place the Company at a disadvantage in contractual or commercial competition (section 68).

- **Research Information**: If the record contains information about research being carried out, or to be carried out, by or on behalf of a third party (section 69).

Despite the above, section 70 of PAIA provides an overriding provision which requires disclosure if the record would reveal a substantial contravention of, or failure to comply with, the law, or an imminent and serious public safety or environmental risk, and the public interest in disclosure clearly outweighs the harm contemplated.

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14. RECORDS THAT CANNOT BE FOUND

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

- is in the Private Body's possession but cannot be found; or
- does not exist,
- the Head of the Private Body must, by way of affidavit or affirmation, notify the Requester that it is not possible to give access to that record. The Company will include information regarding the steps that were taken to try to locate the record.

15. THE INFORMATION OFFICER'S DECISION AND REQUESTER'S RECOURSE

Once the Information Officer has heard all the submissions, he or she will make a decision as to whether or not access to the record will be granted. If access is granted the Requester must then be granted access to the record within 30 days of being informed of the decision.

The Requester is entitled to receive proper reasons as to why the request was refused.

If the Information Officer does not grant the Requester access to the record the Requester is entitled in accordance with sections 56(3)(c) and 78 of PAIA to apply to a court for relief within 180 days of notification of the decision. Such relief may include any order compelling the record or records requested to be made available to the Requester or for another appropriate order. The court will determine whether the records should be made available or not. The Requester may also lodge a complaint with the Information Regulator against the refusal of the request.

The Requester may approach the Information Regulator and lodge a complaint in accordance with section 74 of POPIA in the prescribed Form 5 (PAIA Form 5: https://inforegulator.org.za/complaints/). The details of the **Information Regulator** are as follows:

Woodmead North Office Park
54 Maxwell Drive Woodmead
Johannesburg
2191
Email:POPIAComplaints@inforegulator.org.za

The Company does not have any internal appeal procedures. As such, the decision made by the Information Officer is final and Requesters will have to exercise the external remedies at their disposal in the event that a Request for Access is refused.

16. CONDITIONS FOR LAWFUL PROCESSING

In terms of Chapter 3 of the POPIA, Webull SA, as a Responsible Party, must comply with the following eight conditions when processing Personal Information:

- **Accountability**: The Responsible Party must ensure compliance with all conditions for lawful processing and take responsibility for enforcing them.

- **Processing limitation**: Processing must be lawful, reasonable, and not excessive. Personal Information may only be processed if it is justified by consent, a legal obligation, the performance of a contract, or a legitimate interest of the Responsible Party, the Data Subject, or a third party. Special Personal Information and children's information generally require consent, subject to limited statutory exceptions.

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- **Purpose specification**: Personal Information must be collected for a specific, explicitly defined, and lawful purpose, and retained only for as long as necessary to achieve that purpose, unless retention is authorised by law, consented to, or for historical, statistical, or research purposes.

- **Further processing limitation**: Any further processing must be in accordance with, or compatible with, the original purpose for which the Personal Information was collected.

- **Information quality**: Reasonably practicable steps must be taken to ensure that Personal Information is complete, accurate, not misleading, and updated where necessary.

- **Openness**: Processing must be transparent. The Responsible Party must maintain documentation of processing operations and notify Data Subjects of the collection of their information and the purpose thereof, subject to lawful exceptions.

- **Security safeguards**: The Responsible Party must secure the integrity and confidentiality of Personal Information by implementing appropriate, reasonable technical and organisational measures to prevent loss, damage, unauthorised access, or unlawful processing, and must update safeguards in response to identified risks.

- **Data Subject Participation**: Data Subjects have the right to request confirmation of whether their Personal Information is held, and to request access to, correction, or deletion of such information where it is inaccurate, irrelevant, excessive, out of date, incomplete, misleading, unlawfully obtained, or no longer authorised to be retained.

17. PURPOSE OF THE PROCESSING OF PERSONAL INFORMATION BY THE COMPANY

The purposes for which the Company processes or will process Personal Information are set out in Annexure A.

18. CATEGORIES OF DATA SUBJECTS AND PERSONAL INFORMATION/SPECIAL PERSONAL INFORMATION

As per section 1 of POPIA, a Data Subject may either be a natural or a juristic person. The categories of Data Subjects in relation to which the Company Processes Personal Information are set out in Annexure B.

19. RECIPIENTS OR CATEGORIES OF RECIPIENTS OF PERSONAL INFORMATION

The following are the recipients to whom the Company may provide a Data Subject's Personal Information:
- third party business partners;
- payroll service providers;
- accountancy firms;
- tax authorities (i.e. the South African Revenue Service);
- banks;
- insurance companies;
- professional service providers;
- companies within the Company's group of companies;
- IT service providers;
- benefit providers, if applicable;
- storage facility providers, if applicable;
- airlines, hotels and travel agents, if applicable;
- cloud service providers;
- third-party applications or platforms;
- other third party service providers;
- data analytics advisors; and
- market research companies.

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20. CROSS-BORDER FLOWS OF PERSONAL INFORMATION

Section 72 of POPIA provides that Personal Information may only be transferred by a Responsible Party to a third party in a foreign country outside of the Republic of South Africa in the following circumstances:

- If the third party who is the recipient of the Personal Information is subject to a law, binding corporate rules or a binding agreement which provide an adequate level of protection that effectively upholds principles similar to the Conditions for Lawful Processing under POPIA, including provisions relating to the further transfer of Personal Information from the recipient to third parties who are in a foreign country; or
- If the Data Subject consents to the transfer of their Personal Information; or
- If the transfer is necessary for the performance of a contractual obligation between the Data Subject and the Responsible Party; or
- If the transfer is necessary for the conclusion or performance of a contract between the Responsible Party and a third party, concluded in the interests of the Data Subject; or
- If the transfer is for the benefit of the Data Subject, and it is not reasonably practicable to obtain the consent of the Data Subject, and if it were, the Data Subject, would in all likelihood provide such consent.

Annexure C contains a list of the planned cross-border transfers of Personal Information and the justification for such transfers.

The Company ensures that there is a justification under POPIA when it transfers Personal Information to third parties in countries that do not have adequate data protection laws similar to POPIA.

21. DESCRIPTION OF INFORMATION SECURITY MEASURES TO THE IMPLEMENTED BY THE COMPANY

The types of security measures implemented by the Company in order to secure the integrity and confidentiality of the Personal Information and ensure that Personal Information is protected from loss, damage, unauthorized destruction or unlawful access are listed in Annexure D hereto.

22. OBJECTION TO THE PROCESSING OF PERSONAL INFORMATION BY A DATA SUBJECT

Section 11(3) of POPIA and Regulation 2 of the POPIA Regulations provides that a Data Subject may object to Processing in the prescribed form attached as Annexure G to this Manual where the Processing is based on one of the following grounds, unless legislation provides for such Processing:

- Processing protects a legitimate interest of the Data Subject;
- Processing is necessary for the proper performance of a public law duty by a public body;
- Processing is necessary for pursuing the legitimate interests of the Responsible Party or of a third party to whom it is supplied;
- Processing is for purposes of direct marketing other than direct marketing by means of unsolicited electronic communications as referred to in section 69 of POPIA.

23. REQUEST FOR CORRECTION OR DELETION OF PERSONAL INFORMATION

Section 24 of POPIA and Regulation 3 of the POPIA Regulations provides that a Data Subject may request for their Personal Information to be corrected/deleted in the prescribed form attached as Annexure H to this Manual.

24. AVAILABILITY OF THE MANUAL

A copy of the Manual is available:

- on the Webull Securities South Africa website at ww.webull.co.za
- at the head office of Webull Securities South Africa, The Link, 173 Oxford Road, Rosebank, South Africa 2196, for public inspection during normal business hours by prior appointment
- to any person upon request and upon payment of the prescribed reasonable fee; and
- to the Information Regulator upon request.

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25. FREQUENCY OF REVIEW AND UPDATE

This Manual will be reviewed on an annual basis. It will also be reviewed in the event of significant changes to regulation or the operations of Webull SA.

Issued by
Ricardo Da Silva
Webull Securities South Africa CEO and Information Officer

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ANNEXURE A: DESCRIPTION OF RECORDS OF PERSONAL INFORMATION HELD AND PURPOSES OF PROCESSING SUCH PERSONAL INFORMATION

Description of Record of Personal Information	Purpose of Processing
Current, prospective and former employees, directors, temporary and casual workers, agents, independent contractors, occasional workers, freelancers, volunteers and apprentices: • full legal name; • preferred name/ nickname; • gender; • citizenship, nationality and place of birth; • personal and work locations (address, city, province); • country of residence; • professional and personal phone numbers; • mobile number; • identity number; • passport number; • photograph; • email address; • date of birth/ age; • driving licence; • marital status; • dependant's details; • family history; • emergency contact number; • driving record; • vehicle license plates; • bank account information; • expense claim records; • compensation and remuneration and other payroll information; • benefits elected; • tax identification numbers and details; • employee ID; • employee contact details; • position and occupation category;	• verifying employees' identity; • communicating with employees; • managing the employment relationship including recruitment; • background checks; • verification of right to work; • work references; • on-boarding; • off-boarding; • time and attendance; • planning; • labour organization; • employee data management; • leave management; • processing vacation requests; • performance management; • managing disciplinary processes; • career planning; • talent management; • succession planning; • compensation and benefits administration; • insurance administration and management; • remuneration and payroll administration; • pension management; • mobility; • management of reimbursements and corporate expenses and corporate credit card programs; • learning and development; • general human resources administration and management; • managing workplace health and safety; • security and access control to the business premises; • IT and devices monitoring and maintenance;

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Description of Record of Personal Information	Purpose of Processing
• type of work; • job title; • CV data; • hire date; • work history; • previous work tenure and other work history; • working schedule; • working hours; • holidays; • appraisal data; • termination date; • potential new employers; • pension membership; • pension join date and entry; • pension contributions; • life insurance beneficiaries; • completion of training modules; • disciplinary measures and records of objectionable conduct; • network user-ID, username, IP address; • IT access rights; • IT logs, timesheet and attendance data; • websites visited and email content; • voice recordings; • health-related data including medical/ health information; • disability status; • pregnancy status; • race/ ethnicity; • union membership; • prior convictions; • educational and/ or professional qualifications; • results of background checks, criminal record checks and credit checks in respect of employees; • electronic signatures;	• employee relations including grievances, complaints, harassment, discrimination, misconduct, disciplinary, theft or loss prevention; • fraud detection; • quality control; • e-Discovery; • reporting purposes through the telephone hotline; • managing employee compliance with Company rules and policies; • complying with employment equity obligations under the Employment Equity Act, 1998 ("EEA"); • managing legal disputes; • arranging and facilitating travel; • offering learning and development and training opportunities; • administrating salary, compensation and benefits, including performance reviews and payroll; • learning about the Company's workforce, improving the workplace, fostering diversity, inclusion and belonging; • maintaining health and safety programs; • safeguarding personal property and the health of the workforce including through health and safety measures, whistleblowing, internal investigations, engagement of law enforcement; • monitoring to protect the Company's and its employees' legal rights; • managing Company assets and properties, turnover, resourcing, workforce deployment; • Completing a merger, divestiture, restructuring, reorganization, dissolution, or other sale or transfer of some or all of the Company's assets, whether as a going concern or as part of bankruptcy, liquidation, or similar proceeding; • maintaining the safety, security, functionality and integrity of the Company's websites, assets and business including troubleshooting technical problems when they arise; • conducting other business initiatives;

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Description of Record of Personal Information	Purpose of Processing
• location data; • medical aid benefits; • talent management information; and • biometric information of employees.	• complying with a legal obligation to protect and enforce the Company's legal rights or to protect employees, the Company, or others against injury or harm.
Current, prospective, former clients: • company name; • company registration numbers; • financial data; • client's financial data; • tax related information including VAT numbers; • authorised representative name and contact details; • directors' identification documents; • client's contact details; • client's address • email address; • birth date of natural persons; • age; • gender; • credit card number; • credit card expiration date; • credit card security code; • online profile details; • feedback data; • user generated content; • website browsing information, and logs; • usage data; • device information; • survey responses; • Internet Protocol ("IP") addresses; • general or specific demographic data; • information shared with Customer Service; • feedback; and	• storage of information; • maintenance of Customer profiles; • inputting, updating, deleting, archiving, and/ or processing payments for purchases and returns; • registration and operation of websites and/or apps; • sending transaction-related emails or push notifications; • account verification; • changes/updates to features of the websites/ apps; • disseminating technical and security notices; • assisting with customer service questions or issues; • conducting statistical analysis of aggregated data; • sending promotional materials and interest-based advertising; • improving services to Customers; • conducting marketing initiatives; • assisting with development of new products and services; • preventing fraud, security and compliance with legal obligations and government or court orders in accordance with applicable law; • verifying the client's creditworthiness and approving the client for purposes of onboarding; • ensuring that the business controls are compliant with Group standards; • controlling access to the premises; • creating a strategy to gain new clients; • preparing and negotiating legal agreements/contracts between parties;

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Description of Record of Personal Information	Purpose of Processing
• choices made with respect to communications we send or how we use data (i.e. to opt out).	• reviewing applications in respect of clients as well as handling queries relating to client information that is received; • communicating with clients re transactional/ commercial matters; • for marketing and advertising purposes; • administering, supporting and improving online presence and experience; • helping the Company understand client's interests, personalize interactions with clients, developing business relationship with clients; • creating profiles of clients; • maintaining the safety, security, functionality, and integrity of the Company's websites and other assets or business; • performing testing, research, analytics, and product development; and • providing other client Services.
Vendors/ business partners, third party service providers including software providers, hosting service providers, analytics providers, benefits providers and administrators, payroll agencies, training providers, consultants, franchisees, law firms, insurers and other third parties: • authorised persons' names; • dates of birth; • identity numbers; • company registration numbers; • video images; • financial data; • physical and postal addresses; • contact numbers; • email addresses; • copies of the incorporation certificate; • vendors' tax information and tax clearance certificate; and • VAT vendor details.	• on-boarding new vendors/ business partners, service providers and/ or franchisees; • effecting payment to the vendor/ business partner on completion of the services or delivery of the goods; • conducting sanction checks; • conducting criminal and credit checks on potential vendors/ business partners; • managing accounts payable in respect of vendors/ business partners; • for statistical and budgetary purposes; • verifying vendor's/ business partners' BEE certification; • controlling access to the premises; • management of the relationship and entering into contracts with service providers.

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Description of Record of Personal Information	Purpose of Processing
Group Companies: • director's names; • identity numbers; • passport numbers; • ages; • occupations; • qualifications; • results of background checks; • employee records; • records of performance and/ or objectionable conduct of individuals; • Company registration details; • tax numbers,; • physical addresses of Company premises; • Company contact details such as telephone numbers; • web addresses; • financial information; and • accounting-related records	• conducting the Company's business; • ensuring that the business controls are compliant with Group standards; • submitting data requests internally and externally for data when engaging with third party juristic entities; • engaging in Company secretarial matters; • investigating and preventing cases of suspected fraud and non-compliance related to the business; and • managing business control process flows and standard document controls.

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ANNEXURE B: DESCRIPTION OF DATA SUBJECT OR CATEGORY OF DATA SUBJECTS AND CATEGORIES OF PERSONAL INFORMATION IN RELATION TO THE DATA SUBJECTS

Data Subject or Category of Data Subject	**Description of Personal Information processed in relation to Data Subject**
Employees, contractors, temporary workers, occasional workers, freelancers, volunteers, apprentices	• **Contact Information** such as employee's name, email address, physical address, phone numbers, and preferred name/nickname; • **Financial Information** such as bank account data, expenses and claim records, compensation information, benefits elected, salary, payroll information, tax identification numbers and details, insurance beneficiaries, disability and other deduction data; • **Other Personal Information including special personal information** such as gender, citizenship/nationality, ID number, passport number, driving license number, pension membership, trade union membership, pension join date and entry, pension contributions, medical and health information, criminal history or convictions, health information, disability status, pregnancy status, race/ethnicity/sexual orientation; disability information; • **Other Identifying Information** such as vehicle license plates, fuel card data and vehicle details, marital status, dependants' details, family history, emergency contact details, unique identifiers such as a Network User-ID, username, IP address; • **Education and Professional Information** including CV and resume data, education/diploma(s), transcript data, names of employers or schools, accomplishments, recognitions, degrees, certificates, awards, references;

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Data Subject or Category of Data Subject	Description of Personal Information processed in relation to Data Subject
	• **Information relating to the business Relationship** such as hire date, work history, information relating to tenure, working schedule, working hours, holidays, appraisal data, termination date, potential new employers; employee ID, employee contract and any amendments to it, position, type of work, job title; job performance data, disciplinary measures (if any), IT access rights, timesheet or attendance data; • **Audio, Visual and Biometric Information** such as visual film or still images, voice and video recording, facial recognition or physical characteristics or patterns (such as where a face or fingerprint are used for secure access), physiological, behavioural, and biological characteristics or activity patterns; • **Online and Technical Information** including browsing data, network activity, device identifiers, IT logs, websites visited and email content; • **Location Data** such as employee's address, location information from any Company- issued mobile device or laptop, office locations the employee is assigned to or has visited.
Clients (past, present and prospective), vendors/ business partners, third party service providers including software providers, hosting service providers, analytics providers, benefits providers and administrators, payroll agencies, training providers, consultants, franchisees, law firms, insurers and other third parties	• Company and director names; • company registration details; • identity numbers; • contact numbers; • signatures; • financial information; • agreements with corporate entities; • photographic/video records; • directors' identification documents; • VAT registration documents; • physical address; • email address; • birth date; • nationality; • gender; and • city, post code, country of residence

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ANNEXURE C: CROSS-BORDER FLOWS OF PERSONAL INFORMATION

Country	Justification for Transfer (in terms of section 72 of POPIA)
Australia	Data protection provisions in Agreement
Singapore	
United States of America	
United Kingdom	Adequate laws / Data protection provisions in Agreement

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ANNEXURE D: SECURITY MEASURES TO BE IMPLEMENTED BY THE COMPANY

The following is a list of the types of security measures implemented by the Company in order to ensure that Personal Information is protected from loss of, damage to or unauthorized destruction of or unlawful access to Personal Information:

- Firewalls;
- Virus protection software and update protocols;
- Appropriate access control;
- Secure setup of hardware and software forming the IT infrastructure.

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ANNEXURE E: FORM 2 - REQUEST FOR ACCESS TO RECORD

[Regulation 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:

*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 (*when made on behalf of another person*)				
Postal Address				
Street Address				
Contact Numbers	Tel. (W):		Facsimile:	
	Cellular:			
Full names of person on whose behalf request is made (*if applicable*)				
Identity Number				
Postal Address				

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Street Address				
Contact Numbers	Tel. (W):		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 *(this includes photographs, slides, video recordings, computer-generated images, sketches, etc)*	
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 *(including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form)*	
Written or printed transcription of virtual images *(this includes photographs, slides, video recordings, computer-generated images, sketches, etc)*	
Transcription of soundtrack *(written or printed document)*	
Copy of record on flash drive *(including virtual images and soundtracks)*	
Copy of record on compact disc drive *(including virtual images and soundtracks)*	
Copy of record saved on cloud storage server	

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MANNER OF ACCESS (*Mark the applicable box with an* ***"X"***)	
Personal inspection of record at registered address of public/private body *(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)*	
Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format *(including transcriptions)*	
E-mail of information *(including soundtracks if possible)*	
Cloud share/file transfer	
Preferred language *(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)*	

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

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

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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	**Electronic communication (Please specify)**

Signed at **day of** **20**

Signature of requester / person on whose behalf request is made

FOR OFFICIAL USE

Reference number:	
Request received by (State Rank, Name and Surname of Information Officer)	
Date received:	
Access fees:	
Deposit (if any)	

Signature of Information Officer

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ANNEXURE F: 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.

a) You requested:

Personal inspection of information at registered address of public/private body (*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*) 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 Annexure B.	

OR

b) You requested:

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

c) To be submitted:

Postal services to postal address	
Postal services to street address	

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Courier service to street address	
E-mail of information (*including soundtracks if possible*)	
Cloud share/file transfer	
Preferred language: (*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*)	

Kindly note that your request has been:

☐ Approved

☐ Denied, for the following reasons:

d) Fees payable[1] with regards to your request:

Item	Cost per A4-size page or part thereof/item	Number of pages/items	Total
The request fee payable by every requester	R140		
Photocopy/printed black & white copy of A4-size page	R2.00 per page or part thereof.		
Printed copy	R2.00 per page or part thereof.		
For a copy in a computer-readable form on: (i) Flash drive • To be provided by requestor (ii) Compact disc • If provided by requestor • If provided to the requestor	 R40.00 R40.00 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 • To be provided by requestor (ii) Compact disc • If provided by requestor • If provided to the requestor	 R40.00 R40.00 R60.00		

[1] In terms of section 92 of PAIA, fees are prescribed by regulation and may be amended by the Minister from time to time.

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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. To not exceed a total cost of R435.00	R145.00		
Deposit: If search exceeds 6 hours	One third of amount per request calculated in terms of items 2 to 8.		
Postage, e-mail or any other electronic transfer:	Actual expenses if any		
TOTAL:			

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

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ANNEXURE F: 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….

A	**DETAILS OF DATA SUBJECT**
Name and surname of Data Subject:	
Residential, postal, or business address:	
	Code ( )
Contact number(s):	
E-mail address:	
B	**DETAILS OF RESPONSIBLE PARTY**
Name and surname of Responsible Party *(if the Responsible Party is a natural)*:	
Residential, postal or business address:	
	Code ( )
Contact number(s):	
E-mail address:	
Name of public or Private Body *(if the*	

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Responsible Party is not a natural person):	
Business address:	
	Code ( )
Contact number(s):	
E-mail address:	
C REASONS	

Signed at this day of 20

Signature of Data Subject (applicant)

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ANNEXURE G: FORM 2 - REQUEST TO DELETE OR CORRECT 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".

Request for:

Reference Number....

Correction or deletion of the Personal Information about the Data Subject which is in possession or under the control of the Responsible Party.

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 and who is no longer authorised to security the Record of information.

A DETAILS OF DATA SUBJECT	
Surname:	
Full names:	
Identity number:	
Residential, postal, or business address:	
	Code ( )
Contact number(s):	
E-mail address:	
B DETAILS OF RESPONSIBLE PARTY	
Name and surname of Responsible Party *(if the Responsible Party is a natural)*:	

Webull Securities South Africa (Pty) Ltd, authorised and regulated by the Financial Sector Conduct Authority (in South Africa) as an authorised financial services provider (FSP No 50863).

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

C	**REASONS FOR *CORRECTION OR DELETION OF THE PERSONAL INFORMATION ABOUT THE DATA SUBJECT/*DESTRUCTION OR DELETION OF A RECORD OF PERSONAL INFORMATION ABOUT THE DATA SUBJECT WHICH IS IN POSSESSION OR UNDER THE CONTROL OF THE RESPONSIBLE PARTY. (Please provide detailed reasons for the request) *Delete whichever is not applicable.**

Signed at on this day of 20 .

Webull Securities South Africa (Pty) Ltd, authorised and regulated by the Financial Sector Conduct Authority (in South Africa) as an authorised financial services provider (FSP No 50863).