

TABLE SETTING OUT THE RECORDS OF FIRSTRAND WHICH ARE AVAILABLE IN ACCORDANCE WITH OTHER LEGISLATION

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Alienation of Land Act 68 of 1981 | 3(2)(c) | Copy of contract of sale of land | The seller must after the auction furnish the purchaser with a copy of the contract, failing which the purchaser may cancel the sale. | Purchaser of land | Seller of the sale of land by public auction |
| Alienation of Land Act 68 of 1981 | 7(1) | A certificate in which is indicated the amount the mortgagee requires to be paid for the discharge of the mortgage bond or for the release of the land from the mortgage bond, as well as the rates at which interest is levied as from the date of the certificate. | If the land sold in terms of a contract is encumbered by one or more than one mortgage bond, the seller must within 30 days after the conclusion of the contract hand to the purchaser or send to him by registered post a certificate, drawn up and dated not more than four months before the conclusion of the contract, by each mortgagee, in which is indicated the amount the mortgagee requires to be paid in terms of section 9 for the discharge of his mortgage bond or for the release of the land from his mortgage bond, as the case may be, as well as the rate or rates at which interest shall be levied as from the date of the certificate. | Purchaser of land | Seller of land encumbered by more than one mortgage bond |
| Alienation of Land Act 68 of 1981 | 7(4) | A certificate, drawn up and dated not more than four months before the conclusion of the contract of sale of land, by each mortgagee, in which is indicated the amount the mortgagee requires to be paid for the discharge of the mortgage bond or for the release of the land from the mortgage bond, as well as the rates at which interest is levied as from the date of the certificate. | A mortgagee must, within 21 days of being requested thereto by a seller, furnish him with the certificate referred to in subsection (1), and if he fails to do so, he is liable to such person as if he were obliged by contract to furnish him with such certificate and failed to do so. | Seller of land | Mortgagee |
| Alienation of Land Act 68 of 1981 | 8(1) | Certificate indicating the amount owed at the date of the certificate in respect of the land to the person who furnished, signed by that person in the presence of two witnesses, who must attest to that signature on the certificate | If land is sold by an intermediary, that intermediary must within 30 days after the date of the contract hand to the purchaser by registered post a certificate bearing a date and furnished not more than 30 days before the conclusion of the contract by the person who alienated the land to that intermediary; and every other person who alienated that land to an intermediary prior to the conclusion of the contract. | Purchaser of land | Intermediary that has sold land |
| Alienation of Land Act 68 of 1981 | 9(1)(c) | Particulars in respect of the contract (of a sale of land encumbered by a mortgage bond) as the mortgagee may reasonably require to be furnished to him. | The purchaser must notify the mortgagee of such other particulars in respect of the contract as the mortgagee may reasonably require to be furnished to him. | Mortgagee | Purchaser of land |
| Alienation of Land Act 68 of 1981 | 9(3)(a) | A certificate bearing a date and in which are stated the amount required by the mortgagee for the discharge of his mortgage bond, and the rate or rates at which interest is to be paid thereon. | Any purchaser may, if the land in question is encumbered by a mortgage bond but not together with other land, require the mortgagee to furnish him with a certificate bearing a date and in which are stated the amount required by the mortgagee for the discharge of his mortgage bond, and the rate or rates at which | Purchaser of land | Mortgagee |

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| | | | interest is to be paid thereon. | | |
| Alienation of Land Act 68 of 1981 | 9(3)(b) | A certificate bearing a date and in which are stated the amount required by the mortgagee for the release of the land from his mortgage bond, and the rate or rates at which interest is to be paid thereon. | Any purchaser may, if the land in question is encumbered by a mortgage bond together with other land, require the mortgagee to furnish him with a certificate bearing a date and in which are stated the amount required by the mortgagee for the release of the land from his mortgage bond, and the rate or rates at which interest is to be paid thereon. | Purchaser of land | Mortgagee |
| Alienation of Land Act 68 of 1981 | 10(1) | Records indicating the particulars of the outstanding balance under the deed of alienation in terms of which the owner or that intermediary alienated the land and with particulars as to any amount which in terms of the deed of alienation is due and unpaid. | A remote purchaser may by written notice require the owner or any intermediary who alienated the land in question prior to the date the contract concerned was concluded, to furnish him with the particulars of the outstanding balance under the deed of alienation in terms of which the owner or that intermediary alienated the land and with particulars as to any amount which in terms of the deed of alienation is due and unpaid. | A remote purchaser | Owner or any intermediary who alienated the land |
| Alienation of Land Act 68 of 1981 | 10(2) | The outstanding balance and the particulars of the outstanding balance under the deed of alienation in terms of which the owner or that intermediary alienated the land and with particulars as to any amount which in terms of the deed of alienation is due and unpaid. | Any owner or intermediary receiving a written notice referred to in section 10(1), must, within 30 days of the date of that notice, furnish the remote purchaser concerned with the outstanding balance and the particulars referred to in that subsection, but shall not be obliged to do so more often than three times in one calendar year. | A remote purchaser | Owner or any intermediary who alienated the land |
| Alienation of Land Act 68 of 1981 | 10(3)(a) | Records indicating the name and address of every other intermediary who alienated the land prior to the date the contract is concluded. | The owner of land alienated in terms of a contract and any intermediary who has alienated that land shall furnish any subsequent intermediary or remote purchaser, in regard to any intermediary who alienated the land prior to him, with the information referred to in section 6(1)(i). | Any subsequent intermediary or remote purchaser | The owner of land alienated in terms of a contract and any intermediary who has alienated that land |
| Alienation of Land Act 68 of 1981 | 10(3)(b) | <p>1. Certificate indicating the amount owed at the date of the certificate in respect of the land to the person who furnished, signed by that person in the presence of two witnesses, who must attest to that signature on the certificate;</p> <p>2. Records indicating the particulars of the outstanding balance under the deed of alienation in terms of which the owner or that intermediary alienated the land and with particulars as to any amount which in terms of the deed of alienation is due and unpaid.</p> | <p>The owner of land alienated in terms of a contract and any intermediary who has alienated that land shall furnish any subsequent intermediary or remote purchaser, in regard to the deed of alienation under which he alienated the land with—</p> <p>1. the certificate referred to in section 8(1);</p> <p>2. the certificate referred to in subsection (1) of this section; and</p> <p>3. the information referred to in section 16(2)(f), and if he fails to do so, he shall be liable to such intermediary or purchaser as if he were obliged by contract to do so and failed to do so.</p> | Any subsequent intermediary or remote purchaser | The owner of land alienated in terms of a contract and any intermediary who has alienated that land |

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| | | 3. Records indicating the amount, owing at the end of the period in terms of any alienation of the land in question before the time the contract was concluded. | | | |
| Alienation of Land Act 68 of 1981 | 13(1) | Contract of sale of land | Within 30 days after the conclusion of a contract, the seller shall hand to the purchaser or send to him by registered post to his address, a copy of the contract of sale and the seller is not entitled to make any charge for the making of such copy or for complying with the provisions of this subsection. | Purchaser of land | Seller of land |
| Alienation of Land Act 68 of 1981 | 16(1) | Statement of account | While a contract is in force, the seller shall free of charge hand to the purchaser a statement of account or send such statement by registered post to him at his address referred to in section 23, not later than 12 months from the date of the contract and thereafter within 30 days of the end of each successive period of 12 months following on the date of the first statement of account. | Purchaser of land | Seller of land |
| Arbitration Act 42 of 1965 | 17 | Recording of evidence | If not recorded by the arbitration tribunal itself, the oral evidence of witnesses during arbitration proceedings shall be recorded in such manner and to such extent as the parties to the reference may agree or, failing such agreement, as the arbitration tribunal may from time to time direct after consultation with the parties. | An umpire who enters the proceedings on a reference by the arbitrators | Parties to arbitration proceedings |
| Banks Act 94 of 1990 | 7(1)(a) | Information required in a notice from the Prudential Authority. | The Prudential Authority may by notice in writing direct a bank or a controlling company or a subsidiary of a bank or controlling company to furnish the Prudential Authority, at such time or times or at such intervals or in respect of such period or periods as may be specified in the notice, with such information as may be specified in the notice and as the Prudential Authority may reasonably require for the performance of his or her functions under this Act. | Prudential Authority | Bank or a controlling company or a subsidiary of a bank or controlling company |
| Banks Act 94 of 1990 | 7(1)(b) | Report by a public accountant as defined in the Auditing Profession Act 2005, or by a person with appropriate professional skill, on any matter or aspect, about which the Prudential Authority has directed. | The Prudential Authority may by notice in writing direct such bank, controlling company or subsidiary to furnish the Prudential Authority with a report by a public accountant as defined in section 1 of the Auditing Profession Act, 2005 (Act No. 26 of 2005), or by any other person with appropriate professional skill, on any matter, or any aspect of any matter, about which the Prudential Authority has directed or | Prudential Authority | Bank or a controlling company or a subsidiary of a bank or controlling company |

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| | | | may direct under paragraph (a) the bank, controlling company or subsidiary to furnish information. | | |
| Banks Act 94 of 1990 | 53 | Particulars relating to the bank's or controlling company's shareholding or other interest in 1. subsidiaries in the manner prescribed within or outside SA; 2. joint venture within or outside the Republic if the investment, or the investment together with one or more investments already made by the bank in that joint venture, results in the bank being exposed to an amount representing more than five per cent of its capital. | A bank or a controlling company shall on such a form and at such intervals as may be prescribed furnish the Prudential Authority with such particulars as may be prescribed relating to its shareholding or other interest in— 1. its subsidiaries contemplated in section 52 (1) (a); 2. any joint venture contemplated in section 52 (1) (aA); 3. an undertaking contemplated in section 52 (1) (c); or 4. any trust or financial or other business undertaking contemplated in section 52 (1) (d). | Prudential Authority | Bank or controlling company |
| Banks Act 94 of 1990 | 59 | Returns | Every bank and every controlling company shall within 90 days of its registration as such, and annually thereafter within 30 days of 31 December of each year, furnish the Prudential Authority with a return containing prescribed information regarding its shareholders as at the date of the said registration or as on 31 December of that year, as the case may be. | Prudential Authority | Bank or controlling company |
| Banks Act 94 of 1990 | 67 | Financial statements | If, in the case of an individual shareholder in a bank who holds more than 25 percent of all the issued shares in that bank to which voting rights are attached, the sum of the amounts of such bank's investments with or loans or advances or other exposures to such individual shareholder exceeds the total nominal value of the said shares so held by that individual shareholder, the bank shall in its financial statements mention the name of such individual shareholder. | Prudential Authority | Bank |
| Banks Act 94 of 1990 | 75 | Returns | 1. A bank shall, in order to enable the Prudential Authority to determine – (a) whether the bank is complying with the provisions of (i) sections 70 and 72; or (ii) section 10A of the South African Reserve Bank Act, 1989 (Act No. 90 of 1989); or (b) the nature and amounts of the bank's assets, liabilities and contingent liabilities, furnish the Authority, subject to the provisions of subsection (3A), with returns. | Prudential Authority | Bank |

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| | | | <p>2. A bank shall, in addition to the returns referred to in subsection (1), furnish the Prudential Authority, subject to the provisions of subsection (3A), with the prescribed returns, including returns relating to the extent and management of risk exposures in the conduct of its business.</p> <p>3. The returns referred to in subsections (1) and (3) shall be prepared in conformity with financial reporting standards issued in terms of the Companies Act and shall be furnished to the Authority in respect of such period, at such times and on such a form as may be prescribed.</p> | | |
| Banks Act 94 of 1990 | Notice 2 of 1 January 2008 section 5(3)(a)(ii)(C) | Detailed information relating to the implicit support, including the related capital impact of providing implicit support to a securitisation scheme. | When a bank, or another institution within a banking group of which such a bank is a member, acting in a primary role, in the opinion of the Prudential Authority, provides implicit support to a securitisation scheme, that is, support beyond the predetermined contractual obligation, it shall disclose to the public sufficiently detailed information relating to the implicit support, including the related capital impact of providing implicit support to a securitisation scheme. | Any person | Bank, or another institution within a banking group of which such a bank is a member, acting in a primary role. |
| Banks Act 94 of 1990 | Notice 1202 of 22 September 1998 section 2(7) | <p>A statement reflecting in respect of the preceding month:</p> <p>1. all amounts invested and withdrawn for the benefit of the mandator concerned, including investments that have not matured and that were made prior to the month for which the statement is provided;</p> <p>2. the dates and terms of such investments, the name/names of the bank/banks with which the money-broking transaction/transactions has/have been concluded, rates of interest received by the member and repayment details during the month for which the statement is provided; the total (gross) amount of interest earned by the mandator during that month on amounts invested for the benefit of the mandator concerned; and</p> <p>3. the actual amount of the fee charged by the member of the JSE to</p> | <p>A member of the JSE conducting money-broking transactions shall monthly furnish each mandator with a statement, produced on the Broker-Deal Accounting System or such other system as the Director: Surveillance of the JSE may approve, whether unique to a member or used by more than one member reflecting in respect of the preceding month:</p> <p>1. all amounts invested and withdrawn for the benefit of the mandator concerned, including investments that have not matured and that were made prior to the month for which the statement is provided;</p> <p>2. the dates and terms of such investments, the name/names of the bank/banks with which the money-broking transaction/transactions has/have been concluded, rates of interest received by the member and repayment details during the month for which the statement is provided;</p> <p>3. the total (gross) amount of interest earned</p> | Mandator | A member of the JSE conducting money-broking transactions |

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| | | the 4. mandator for that month, reflected in rand, or as a percentage. | by the mandator during that month on amounts invested for the benefit of the mandator concerned; and 4. the actual amount of the fee charged by the member of the JSE to the mandator for that month, reflected in rand, or as a percentage. | | |
| Banks Act 94 of 1990 | Notice 1202 of 22 September 1998 section 2(8) | Records containing: 1. list of mandator codes and any changes to such list; 2. daily report showing allocations to mandator's matched to bank balances, backdated allocations and details of unmatched and unidentified deposits and allocations; and 3. in the event of the winding-up of a bank or of a bank being placed under curatorship, a list of deposits with such bank on behalf of mandator's, as soon as notification of the winding-up or curatorship is received. | A member of the JSE conducting money-broking transactions shall keep records which shall at all times be available to the Director: Surveillance of the JSE, which shall contain— (a) a list of mandator codes and any changes to such list; (b) a daily report showing allocations to mandator's matched to bank balances, backdated allocations and details of unmatched and unidentified deposits and allocations; and (c) in the event of the winding-up of a bank or of a bank being placed under curatorship, a list of deposits with such bank on behalf of mandator's, as soon as notification of the winding-up or curatorship is received. | Director: Surveillance of the Johannesburg Stock Exchange | A member of the JSE conducting money-broking transactions |
| Banks Act 94 of 1990 | Notice 1058 of 21 August 1998 section 28(4)(a) | Information regarding supervisory scenarios requiring no simulations by the bank, the bank must have information on the largest losses experienced during the reporting period available for supervisory review. | The Prudential Authority may request a bank to provide information regarding supervisory scenarios requiring no simulations by the bank: A bank must have information on the largest losses experienced during the reporting period available for supervisory review. This loss information could be compared to the level of capital that results from a bank's internal measurement system. The information must provide the Prudential Authority with a picture of how many days of peak-day losses would have been covered by a given value-at-risk estimate; | Prudential Authority | A bank |
| Banks Act 94 of 1990 | Notice 1058 of 21 August 1998 section 28(4)(b) | Information regarding scenarios requiring a simulation by a bank: A bank must subject its portfolios to a series of simulated stress scenarios and must provide the Prudential Authority with the results. | The Prudential Authority may request a bank to provide information regarding scenarios requiring a simulation by a bank: A bank must subject its portfolios to a series of simulated stress scenarios and must provide the Prudential Authority with the results. These scenarios shall include testing the current portfolio against past periods of significant disturbance, incorporating both the large price movements and the sharp reduction in liquidity associated with such events. A second type of scenario could evaluate the sensitivity of the bank's | Prudential Authority | A bank |

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| | | | market-risk exposure to changes in the assumptions about volatilities and correlations. Application of this test would require an evaluation of the historical range of variation for volatilities and correlations and evaluation of the bank's current positions against the extreme values of the historical range. Consideration must be given to the sharp variation that has at times occurred in a matter of days during periods of significant market disturbance. | | |
| Banks Act 94 of 1990 | Notice 1058 of 21 August 1998 section 28(4)(c) | Information regarding scenarios developed by a bank itself in order to capture the specific characteristics of its portfolio. A bank must provide the Prudential Authority with a description of the methodology used in order to identify and carry out the scenarios, as well as with a description of the results derived from these scenarios. | The Prudential Authority may request a bank to provide information regarding scenarios developed by a bank itself in order to capture the specific characteristics of its portfolio: A bank must also develop its own stress tests, which it identifies as most adverse, based on the characteristics of its portfolio. A bank must provide the Prudential Authority with a description, in writing, of the methodology used in order to identify and carry out the scenarios, as well as with a description of the results derived from these scenarios. | Prudential Authority | A bank |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 16(1)(c) | Statements of account evidencing the effect of transfers, whenever such transfers are made between the client's accounts and a central group account. | The bank shall provide its clients with statements of account evidencing the effect of transfers, whenever such transfers are made between their accounts and a central group account, in order to enable the clients of the bank to make the necessary entries to ensure that their respective accounting records reflect the true debtor/creditor and legal relationships vis-a-vis the bank (except for uncleared items, balances in the books of clients should therefore correspond to balances on client accounts in the accounting system of the relevant bank). | Clients of the Bank | A bank |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 26(3)(a)(i) | Audit trail in respect of the underlying data relating to the base models supporting the relevant form BA 300. | A bank shall retain an audit trail in respect of the underlying data relating to the base models supporting the relevant form BA 300, which audit trail- (a) shall provide a reconciliation between the total assets and the total liabilities reported on the form BA300 and the total assets and the total liabilities contained in the reporting bank's general ledger systems, which reconciliation- (i) on request, shall be made available to the Prudential Authority; | Prudential Authority | A bank |

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| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 26(7)(b)(A) | Records documenting the specific definitions and/or criteria applied by the bank to distinguish between "stable deposits" and "volatile deposits". | Whenever relevant, for purposes of reporting on the form BA 300 of-(b) specified liability classes, the category titled- Provided that in respect of subparagraphs (i) and (ii)- (A) a bank shall duly document the specific definitions and/or criteria applied by the bank to distinguish between "stable deposits" and "volatile deposits" and, at the request of the Prudential Authority, the bank shall in writing submit to the Prudential Authority the said specific definitions and/or criteria. | Prudential Authority | A bank |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 26(9)(c) | Any board approved assumption applied by the bank in respect of the bank's ALCO process. | A bank-shall on request submit to the Prudential Authority any board approved assumption applied by the bank in respect of the bank's ALCO process. | Prudential Authority | A bank |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 26(10)(b) | All relevant board approved assumptions and reasoning applied in respect of the bank specific stress mismatch. | A bank must on request submit to the Prudential Authority all relevant board approved assumptions and reasoning applied in respect of the bank- specific stress mismatch. | Prudential Authority | A bank |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 26(11)(b) | All relevant board approved assumptions and reasoning applied in respect of the realisable value of assets under a forced sale scenario. | A bank must on request submit to the Prudential Authority all relevant board approved assumptions and reasoning applied in respect of the realisable value of assets under a forced sale scenario. | Prudential Authority | A bank |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 26(11)(b)(A) | Information relating to the largest losses experienced by the bank during a particular reporting period, which information- 1. may be compared to the level of required and allocated capital and reserve funds calculated in terms of a bank's internal models; 2. must be sufficient to indicate to the Prudential Authority how many days of peak day losses would have been covered by a given value-at-risk estimate. | For review by the Prudential Authority, a bank shall have available detailed information relating to the largest losses experienced by the bank during a particular reporting period, which information- 1. may be compared to the level of required and allocated capital and reserve funds calculated in terms of a bank's internal models; 2. shall be sufficient to indicate to the Prudential Authority how many days of peak day losses would have been covered by a given value-at-risk estimate. | Prudential Authority | A bank |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 26(11)(b)(A) | Results of simulated stress scenarios. | At the request of the Prudential Authority, the reporting bank must in writing provide to the Prudential Authority the results of the aforesaid simulated stress scenarios, Provided that in respect of the aforesaid stress scenarios, the bank must | Prudential Authority | A bank |

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| | | | consider the impact of sharp variations that may have occurred in a matter of days during periods of significant market disturbance in the past. For example, at the height of some of the historic financial market stress events or scenarios, correlations within risk factors approached the extreme values of 1 or -1 for several days. | | |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 36(8)(a) | <p>1. Copies of all correspondence between such a bank or controlling company and a foreign supervisory authority that relates to matters that may or are likely to have a material impact on the supervisory duties of the Prudential Authority in terms of the provisions of the Banks Act or these Regulations;</p> <p>2. Copies of all correspondence between a subsidiary of such a bank or controlling company or between the representative office of such a bank and a foreign supervisory authority that relates to matters that may or are likely to have a material impact on the supervisory duties of the Prudential Authority in terms of the provisions of the Act or these Regulations;</p> <p>3. Any material information which may or is likely to negatively affect the suitability of a major shareholder; or</p> <p>4. Copies of any other information or documentation at the disposal of such a bank, controlling company or subsidiary that relates to matters that may or are likely to have a material act on the supervisory duties of the Prudential Authority in terms of the provisions of the Act or these Regulations.</p> | <p>In addition to the form BA600, a bank or controlling company must furnish the Prudential Authority with-</p> <p>1. copies of all correspondence between such a bank or controlling company and a foreign supervisory authority that relates to matters that may or are likely to have a material impact on the supervisory duties of the Prudential Authority in terms of the provisions of the Act or these Regulations;</p> <p>2. copies of all correspondence between a subsidiary of such a bank or controlling company or between the representative office of such a bank and a foreign supervisory authority that relates to matters that may or are likely to have a material impact on the supervisory duties of the Prudential Authority in terms of the provisions of the Act or these Regulations;</p> <p>3. any material information which may or is likely to negatively affect the suitability of a major shareholder; or</p> <p>4. copies of any other information or documentation at the disposal of such a bank, controlling company or subsidiary that relates to matters that may or are likely to have a material act on the supervisory duties of the Prudential Authority in terms of the provisions of the Act or these Regulations;</p> | Prudential Authority | Bank or controlling company |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 36(8)(b) | <p>Information relating to-</p> <p>1. major shareholders of the relevant bank or controlling company;</p> <p>2. the group structure based on the business line structure; and the legal structure;</p> <p>3. the respective main business activities conducted by the entities included</p> | <p>In addition to the form BA600, a bank or controlling company must furnish the Prudential Authority with qualitative information relating to-</p> <p>1. major shareholders of the relevant bank or controlling company;</p> <p>2. the group structure based on the business line structure; and the legal structure;</p> | Prudential Authority | Bank or controlling company |

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| | | <p>in the consolidated return, including relevant matters relating to- services and products; markets; geographical regions; sectors;</p> <p>4. the composition of the respective boards of directors of the respective significant entities included in the consolidated return and the respective roles and responsibilities of the respective boards of directors, including information relating to the committees appointed by the board;</p> <p>5. the respective management structures of the respective significant entities included in the consolidated return, and the respective main responsibilities of such senior management;</p> <p>6. the business model or strategy adopted by the relevant bank or controlling company and whether or not the financial activities conducted within the banking group- cut across legal entities; or are conducted autonomously within individual financial entities;</p> <p>7. the control structure adopted by the relevant bank or controlling company, including matters relating to- accounting policies; internal audit; the compliance function; outsourcing; external audit and the interaction between internal and external audit, and whether or not the respective adopted control functions are globally controlled or locally controlled within individual financial entities;</p> <p>8. the strategy adopted by the relevant bank or controlling company in respect of risk, including- the group's appetite for risk; the principal risks the group is willing to incur; any specified or board approved limits relating to risk positions; the manner in which risks are monitored and controlled, that is, whether or not risk are monitored and controlled on- a global basis; a business line</p> | <p>3. the respective main business activities conducted by the entities included in the consolidated return, including relevant matters relating to- services and products; markets; geographical regions; sectors;</p> <p>4. the composition of the respective boards of directors of the respective significant entities included in the consolidated return and the respective roles and responsibilities of the respective boards of directors, including information relating to committees appointed by the board;</p> <p>5. the respective management structures of the respective significant entities included in the consolidated return, and the respective main responsibilities of such senior management;</p> <p>6. the business model or strategy adopted by the relevant bank or controlling company and whether or not the financial activities conducted within the banking group- cut across legal entities; or are conducted autonomously within individual financial entities;</p> <p>7. the control structure adopted by the relevant bank or controlling company, including matters relating to- accounting policies; internal audit; the compliance function; outsourcing; external audit and the interaction between internal and external audit, and whether or not the respective adopted control functions are globally controlled or locally controlled within individual financial entities;</p> <p>8. the strategy adopted by the relevant bank or controlling company in respect of risk, including- the group's appetite for risk; the principal risks the group is willing to incur; any specified or board approved limits relating to risk positions; the manner in which risks are monitored and controlled, that is, whether or not risk are monitored and controlled on- a global basis; a business line</p> <p>9. the strategy adopted by the relevant bank or controlling company in respect of- the entity or</p> | | |

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| | | <p>basis; the frequency with which risk information has to be reported to the respective boards of directors and senior management of- the controlling company; the relevant entities included in the reporting group of entities;</p> <p>9. the strategy adopted by the relevant bank or controlling company in respect of- the entity or entities within the banking group primarily responsible to manage or hold any excess capital and reserve funds in the group; the monitoring of capital in relation to the risks incurred by the various entities included in the reporting group; the allocation of capital amongst the various entities included within the reporting group, (x) the strategy adopted by the relevant bank or controlling company in respect of funding and liquidity management, including the extent to which liquidity management is centralised or managed on a business or legal entity basis;</p> <p>10. the strategy adopted by the relevant bank or controlling company in respect of contingency planning, including the extent to which contingency planning is centralised or managed on a business or legal entity basis;</p> <p>11. the strategy adopted by the relevant bank or controlling company in respect of intragroup transactions and transactions with related persons or entities, including whether or not- limits are imposed in respect of intragroup transactions and transactions with related persons or entities; intragroup transactions and transactions with related persons or entities are conducted on an arm's-length basis;</p> <p>12. the strategy adopted by the relevant bank or controlling company in respect of concentration risk, including whether or not limits are imposed in respect of</p> | <p>entities within the banking group primarily responsible to manage or hold any excess capital and reserve funds in the group; the monitoring of capital in relation to the risks incurred by the various entities included in the reporting group; the allocation of capital amongst the various entities included within the reporting group, (x) the strategy adopted by the relevant bank or controlling company in respect of funding and liquidity management, including the extent to which liquidity management is centralised or managed on a business or legal entity basis;</p> <p>10. the strategy adopted by the relevant bank or controlling company in respect of contingency planning, including the extent to which contingency planning is centralised or managed on a business or legal entity basis;</p> <p>11. the strategy adopted by the relevant bank or controlling company in respect of intragroup transactions and transactions with related persons or entities, including whether or not- limits are imposed in respect of intragroup transactions and transactions with related persons or entities; intragroup transactions and transactions with related persons or entities are conducted on an arm's-length basis;</p> <p>12. the strategy adopted by the relevant bank or controlling company in respect of concentration risk, including whether or not limits are imposed in respect of concentration risk, which qualitative information shall be submitted in writing to the Prudential Authority within 120 days of the financial year-end of the relevant bank or controlling company or whenever requested in writing by the Prudential Authority.</p> | | |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | concentration risk, which qualitative information shall be submitted in writing to the Prudential Authority within 120 days of the financial year-end of the relevant bank or controlling company or whenever requested in writing by the Prudential Authority. | | | |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 sections 36 (8)(c) | Detailed list or supporting return, which list or supporting return: 1. must provide additional information to the Prudential Authority in respect of matters related to the consolidated return or consolidated supervision; 2. must separately reflect all investments or interests held by the bank or controlling company in- regulated subsidiaries; unregulated subsidiaries; regulated joint ventures; unregulated joint ventures; regulated associates; unregulated associates;) specified special-purpose institutions included in the consolidated financial statements or consolidated return of the relevant bank or controlling company; companies bought-in during the period specified by the Prudential Authority; any other entity specified in writing by the Prudential Authority. 3. shall in respect of each relevant investment or interest specified in subparagraph (ii) above clearly indicate- the nature of business conducted by the relevant entity, that is, the main activity of business such as banking, securities trading, insurance, portfolio management, property holding or development, or other; the country in which the entity is incorporated; whether the entity conducts business as principal or agent, or both as principal and agent; the relevant regulatory authority/supervisor the rules of which apply to the relevant entity, that is, the name of the authority or supervisor responsible for the supervision of the entity; the latest date in | In addition to the form BA600, a bank or controlling company must at the request of the Prudential Authority submit in writing a detailed list or supporting return, which list or supporting return: 1. must provide additional information to the Prudential Authority in respect of matters related to the consolidated return or consolidated supervision; 2. must separately reflect all investments or interests held by the bank or controlling company in- regulated subsidiaries; unregulated subsidiaries; regulated joint ventures; unregulated joint ventures; regulated associates; unregulated associates;) specified special-purpose institutions included in the consolidated financial statements or consolidated return of the relevant bank or controlling company; companies bought-in during the period specified by the Prudential Authority; any other entity specified in writing by the Prudential Authority. 3. shall in respect of each relevant investment or interest specified in subparagraph (ii) above clearly indicate- the nature of business conducted by the relevant entity, that is, the main activity of business such as banking, securities trading, insurance, portfolio management, property holding or development, or other; the country in which the entity is incorporated; whether the entity conducts business as principal or agent, or both as principal and agent; the relevant regulatory authority/supervisor the rules of which apply to the relevant entity, that is, the name of the authority or supervisor responsible for the supervision of the entity; the latest date in respect of which audited financial statements are available; in the case of a regulated entity- the minimum capital requirement/solvency amount determined in accordance with the rules or regulations of the relevant authority or supervisor responsible for the | Prudential Authority | Bank controlling company |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | respect of which audited financial statements are available; in the case of a regulated entity- the minimum capital requirement/solvency amount determined in accordance with the rules or regulations of the relevant authority or supervisor responsible for the supervision of the relevant entity; the amount of qualifying capital and reserve funds determined in accordance with the rules or regulations of the relevant authority or supervisor responsible for the supervision of the relevant entity; any surplus or shortfall amount, that is, the difference between the entity's qualifying capital and reserve funds and the required amount of capital and reserve funds. the aggregate amount of- any direct or indirect exposures granted by other group entities to the relevant entity; any direct or indirect exposures granted by the relevant entity to other group entities, (iv) shall in respect of each relevant bank in the reporting group clearly indicate the relevant approaches or methods implemented by the said banks for the measurement of their exposures to credit risk, market risk and operational risk. | supervision of the relevant entity; the amount of qualifying capital and reserve funds determined in accordance with the rules or regulations of the relevant authority or supervisor responsible for the supervision of the relevant entity; any surplus or shortfall amount, that is, the difference between the entity's qualifying capital and reserve funds and the required amount of capital and reserve funds. the aggregate amount of- any direct or indirect exposures granted by other group entities to the relevant entity; any direct or indirect exposures granted by the relevant entity to other group entities, (iv) shall in respect of each relevant bank in the reporting group clearly indicate the relevant approaches or methods implemented by the said banks for the measurement of their exposures to credit risk, market risk and operational risk. | | |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 39(18)(b) | Report compiled by the board of directors or committee in respect of the adequacy of the processes relating to corporate governance, risk management, capital management and capital adequacy. | The board of directors of a bank or a committee appointed by the board for such purpose shall at the request of the Prudential Authority provide the Prudential Authority with a copy of the report compiled by the board of directors or committee in respect of the adequacy of the processes relating to corporate governance, risk management, capital management and capital adequacy. | Prudential Authority | The board of directors of a bank or a committee appointed by the board |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 48(s) | Internal audit reports | In order to, amongst other things, evaluate and improve the effectiveness of a bank's risk management, control, capital management and governance processes and/or systems, a bank shall establish an independent and objective internal audit function, which internal audit function shall provide the bank's external auditor | Bank's external auditor | A bank |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | access to any relevant internal audit reports. | | |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 36(17)(b)(i)(F) | Information in respect of: 1. any concentration risk, including the bank or controlling company's approach to the management of concentration risk; 2. any intergroup transactions or exposure, including the bank or controlling company's approach to the management of intergroup transactions or exposure. | In order to promote and maintain sound standards in respect of corporate governance, risk management and internal controls, every bank and every controlling company shall have in place board-approved policies and comprehensive risk-management processes and procedures, which policies, processes and procedures which must be sufficiently robust to ensure that the relevant bank or controlling company publishes timely, reliable and sufficiently detailed information in respect of: 1. any concentration risk, including the bank or controlling company's approach to the management of concentration risk; 2. any intergroup transactions or exposure, including the bank or controlling company's approach to the management of intergroup transactions or exposure; | Prudential Authority | Bank or controlling company |
| Banks Act 94 of 1990 | Notice 1033 of 15 December 2011 section 39(5)(j)(v) | Information regarding the bank's compensation practices- 1. to facilitate constructive engagement with all relevant stakeholders, including shareholders; 2. to enable stakeholders to evaluate the quality of support for the bank's strategy, objectives and risk appetite. | The risk management processes, practices, procedures and policies must include sound compensation processes, practices and procedures, and board approved compensation policies, which compensation processes, practices, procedures and policies must promote adequate disclosure to stakeholders, that is, the bank shall disclose clear, comprehensive and timely information regarding the bank's compensation practices- 1. to facilitate constructive engagement with all relevant stakeholders, including shareholders; 2. to enable stakeholders to evaluate the quality of support for the bank's strategy, objectives and risk appetite. | Stakeholders | A bank |
| Basic Conditions of Employment Act 75 of 1997 | 29(1) | 1. The full name and address of the employer; 2. the name and occupation of the employee, or a brief description of the work for which the employee is employed; 3. the place of work, and, where the employee is required or permitted to work at various places, an indication of this; 4. the date on which the employment | An employer must supply an employee, when the employee commences employment, with the following particulars in writing: 1. the full name and address of the employer; 2. the name and occupation of the employee, or a brief description of the work for which the employee is employed; 3. the place of work, and, where the employee is required or permitted to work at various places, an indication of this; | Employee | Employer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | <p>began;</p> <p>5. the employee's ordinary hours of work and days of work;</p> <p>6. the employee's wage or the rate and method of calculating wages;</p> <p>7. the rate of pay for overtime work;</p> <p>8. any other cash payments that the employee is entitled to;</p> <p>9. any payment in kind that the employee is entitled to and the value of the payment in kind;</p> <p>10. how frequently remuneration will be paid;</p> <p>11. any deductions to be made from the employee's remuneration;</p> <p>12. the leave to which the employee is entitled;</p> <p>13. the period of notice required to terminate employment, or if employment is for a specified period, the date when employment is to terminate;</p> <p>14. a description of any council or sectoral determination which covers the employer's business;</p> <p>15. any period of employment with a previous employer that counts towards the employee's period of employment;</p> <p>16. a list of any other documents that form part of the contract of employment, indicating a place that is reasonably accessible to the employee where a copy of each may be obtained.</p> | <p>4. the date on which the employment began;</p> <p>5. the employee's ordinary hours of work and days of work;</p> <p>6. the employee's wage or the rate and method of calculating wages;</p> <p>7. the rate of pay for overtime work;</p> <p>8. any other cash payments that the employee is entitled to;</p> <p>9. any payment in kind that the employee is entitled to and the value of the payment in kind;</p> <p>10. how frequently remuneration will be paid;</p> <p>11. any deductions to be made from the employee's remuneration;</p> <p>12. the leave to which the employee is entitled;</p> <p>13. the period of notice required to terminate employment, or if employment is for a specified period, the date when employment is to terminate;</p> <p>14. a description of any council or sectoral determination which covers the employer's business;</p> <p>15. any period of employment with a previous employer that counts towards the employee's period of employment;</p> <p>16. a list of any other documents that form part of the contract of employment, indicating a place that is reasonably accessible to the employee where a copy of each may be obtained.</p> | | |
| Basic Conditions of Employment Act 75 of 1997 | 31 | Employee records | <p>Every employer must keep a record containing at least the following information:</p> <p>(a) The employee's name and occupation;</p> <p>(b) the time worked by each employee;</p> <p>(c) the remuneration paid to each employee;</p> <p>(d) the date of birth of any employee under 18 years of age; and</p> <p>(e) any other prescribed information.</p> | Employee | Employer |
| Basic Conditions of | 33(1) | 1. The employer's name and address; | An employer must give an employee the following | Employee | Employer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Employment Act 75 of 1997 | | 2. the employee's name and occupation; 3. the period for which the payment is made; 4. the employee's remuneration in money; 5. the amount and purpose of any deduction made from the remuneration; 5. the actual amount paid to the employee; and 6. if relevant to the calculation of that employee's remuneration— 6.1. the employee's rate of remuneration and overtime rate; 6.2. the number of ordinary and overtime hours worked by the employee during the period for which the payment is made; 6.3. the number of hours worked by the employee on a Sunday or public holiday during that period; and 6.4. if an agreement to average working time has been concluded in terms of section 12, the total number of ordinary and overtime hours worked by the employee in the period of averaging. | information in writing on each day the employee is paid: 1. The employer's name and address; 2. the employee's name and occupation; 3. the period for which the payment is made; 4. the employee's remuneration in money; 5. the amount and purpose of any deduction made from the remuneration; 5. the actual amount paid to the employee; and 6. if relevant to the calculation of that employee's remuneration— 6.1. the employee's rate of remuneration and overtime rate; 6.2. the number of ordinary and overtime hours worked by the employee during the period for which the payment is made; 6.3. the number of hours worked by the employee on a Sunday or public holiday during that period; and 6.4. if an agreement to average working time has been concluded in terms of section 12, the total number of ordinary and overtime hours worked by the employee in the period of averaging. | | |
| Basic Conditions of Employment Act 75 of 1997 | 50(10)(c) | Copy of the notice from the Minister of Labour whereby he replaces or excludes any basic condition of employment provided for in the Basic Conditions of Employment Act. | An employer in respect of whom a determination has been made, or whose employees are covered by a determination, must: give a copy of the notice to every: 1. registered trade union representing those employees; 2. trade union representative representing those employees; and 3. employee who requests a copy. | 1. Registered trade union representing those employees; 2. Trade union representative representing those employees; and 3. Employee who requests a copy. | Employer |
| Basic Conditions of Employment Act 75 of 1997 | 53(1)(b) | Any information, book, document or object that is material to the investigation of the Director-General of Labour into conditions of employment of a sector before a sectoral determination is made. | For the purposes of conducting an investigation in terms of section 52 (1), the Director-General may require, in writing, any employer or employee in a sector and area that is being investigated or any other person to furnish any information, book, document or object that is material to the investigation within a specified period, which must be reasonable. | Director General of the Department of Labour | Applicable to employers and employees |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Basic Conditions of Employment Act 75 of 1997 | 58 | Sectoral determination | Unless a sectoral determination provides otherwise, every employer on whom the sectoral determination is binding must— 1. keep a copy of that sectoral determination available in the work-place at all times; 2. make that copy available for inspection by an employee; and 3. give a copy of that sectoral determination— 3.1. to an employee who has paid the prescribed fee; and 3.2. free of charge, on request, to an employee who is a trade union representative or a member of a work-place forum. | Employee or an employee who is a trade union representative or a member of a work-place forum. | Employer |
| Basic Conditions of Employment Act 75 of 1997 | 66(1) | 1. Information on any matter to which an employment law relates; 2. any record or document to which an employment law relates; 3. any record or document to which an employment law relates, or remove these to make copies or extracts. | In order to monitor or enforce compliance with an employment law, a labour inspector may: 1. require a person to disclose information, either orally or in writing, and either alone or in the presence of witnesses, on any matter to which an employment law relates, and require that the disclosure be made under oath or affirmation; 2. inspect, and question a person about, any record or document to which an employment law relates; 3. copy any record or document referred to in paragraph (b), or remove these to make copies or extracts; 4. require a person to produce or deliver to a place specified by the labour inspector any record or document referred to in paragraph (b) for inspection; 5. inspect, question a person about, and if necessary remove, any article, substance or machinery present at a place referred to in section 65; 6. inspect or question a person about any work performed; and 7. perform any other prescribed function necessary for monitoring or enforcing compliance with an employment law. | Labour inspector | Employer |
| Basic Conditions of Employment Act 75 of 1997 | 78(1)(e) | Any record kept in terms of the Basic Conditions of Employment Act that relates to the employment of that employee. | Every employee has the right to inspect any record kept in terms of this Act that relates to the employment of that employee; | Employees | Employer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Basic Conditions of Employment Act 75 of 1997 | 78(2) | Any record kept in terms of the Basic Conditions of Employment Act that relates to the employment of that employee. | Every trade union representative has the right, at the request of an employee, to inspect any record kept in terms of this Act that relates to the employment of that employee. | Trade Union Representative | Employer |
| Basic Conditions of Employment Act 75 of 1997 | Notice 1440 of 13 November 1998 section 5.4 | Shift schedule | The shift schedule should be displayed or distributed for easy access by all workers, and should be presented in a readily understandable form. | Employees | Employer |
| Broad-based Black Empowerment Act 53 of 2003 | 13G | Report on compliance with broad-based black economic empowerment. | All public companies listed on the Johannesburg Stock Exchange must provide to the Commission, in such manner as may be prescribed, a report on their compliance with broad-based black economic empowerment. | Black Economic Empowerment Advisory Council | JSE listed company |
| Carbon Tax Act 15 of 2019 | 19(c)(vi) | Records in respect of administering the offset allowance | The Minister may make regulations in respect of the records that must be kept in respect of administering the offset allowance. Such regulations have not been promulgated. | | Company (i.e. taxpayer) |
| Collective Investment Schemes Control Act 45 of 2002 | 4(4) | | Manager must keep proper records | | Manager of collective investment scheme |
| Collective Investment Schemes Control Act 45 of 2002 | 70(1) | Records which identify the nature and value of all assets under custody, the ownership of each asset and the place where documents of title pertaining to each asset are kept. | A trustee or custodian must ensure that appropriate internal control systems are maintained and that records clearly identify the nature and value of all assets under custody, the ownership of each asset and the place where documents of title pertaining to each asset are kept. | | Trustee or custodian of collective investment scheme |
| Collective Investment Schemes Control Act 45 of 2002 | 74(1) | Accounting records | 1) A manager must in respect of itself and every collective investment scheme administered by it: a) maintain the accounting records and prepare annual financial statements in conformity with generally accepted accounting practice; b) preserve such records in a safe place for a period of at least five years as from the date of the latest entry therein; and c) cause such records and annual financial statements to be audited, not later than three months after the financial year end of the manager or collective investment or such later date as the Financial Services Conduct Authority may allow, by an auditor | Auditor | Manager of a collective investment scheme |
| Companies Act 71 of 2008 | 26(1) | 1. Memorandum of Incorporation and any amendments to it, and any rules made by the company; | A person who holds or has a beneficial interest in any securities issued by a profit company, or who is a member of a non-profit company, has a right to | A person who holds or has a beneficial interest in any securities issued | Company |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | <p>2. the records in respect of the company's directors including all the information as required in section 24(5) in respect of each current director at any particular time and with respect to each past director;</p> <p>3. the reports to annual meetings, and annual financial statements, as mentioned in section 24(3)(c)(i) and (ii);</p> <p>4. the notices and minutes of annual meetings, and communications mentioned in section 24(3)(d) and (e), but the reference in section 24(3)(d) to shareholders meetings, and the reference in section 24(3)(e) to communications sent to holders of a company's securities, must be regarded in the case of a non-profit company as referring to a meeting of members, or communication to members, respectively; and</p> <p>5. the securities register of a profit company, or the members register of a non-profit company that has members, as mentioned in section 24(4).</p> | <p>inspect and copy, without any charge for any such inspection or upon payment of no more than the prescribed maximum charge for any such copy, the information contained in the following records of the company—</p> <p>1. The company's Memorandum of Incorporation and any amendments to it, and any rules made by the company, as mentioned in section 24 (3) (a);</p> <p>2. the records in respect of the company's directors, as mentioned in section 24 (3) (b);</p> <p>3. the reports to annual meetings, and annual financial statements, as mentioned in section 24 (3) (c) (i) and (ii);</p> <p>4. the notices and minutes of annual meetings, and communications mentioned in section 24 (3) (d) and (e), but the reference in section 24 (3) (d) to shareholders meetings, and the reference in section 24 (3) (e) to communications sent to holders of a company's securities, must be regarded in the case of a non-profit company as referring to a meeting of members, or communication to members, respectively; and</p> <p>5. the securities register of a profit company, or the members register of a non-profit company that has members, as mentioned in section 24 (4).</p> | by a profit company, or who is a member of a non-profit company | |
| Companies Act 71 of 2008 | 26(2) | Securities register of a profit company, or the members register of a non-profit company that has members, or the register of directors of a company. | A person not contemplated in subsection (1) has a right to inspect or copy the securities register of a profit company, or the members register of a non-profit company that has members, or the register of directors of a company, upon payment of an amount not exceeding the prescribed maximum fee for any such inspection. | Any person | Company |
| Companies Act 71 of 2008 | 26(6) | The register of members and register of directors of a company. | The register of members and register of directors of a company, must, during business hours for reasonable periods be open to inspection by any member, free of charge and by any other person, upon payment for each inspection of an amount not more than R100,00. | Any member | Company |
| Companies Act 71 of 2008 | 30(1) | Annual financial statements | Each year, a company must prepare annual financial statements within six months after the end of its | | Company |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | financial year, or such shorter period as may be appropriate to provide the required notice of an annual general meeting in terms of section 61 (7). | | |
| Companies Act 71 of 2008 | 31(1) | 11 . Notice of the publication of any annual financial statements of the company; and 2. on demand to receive without charge one copy of any annual financial statements of the company required by this Act. | In addition to the rights set out in section 26, a person who holds or has a beneficial interest in any securities issued by a company, is entitled— 1. without demand to receive a notice of the publication of any annual financial statements of the company required by this Act, setting out the steps required to obtain a copy of those statements; and 2. on demand to receive without charge one copy of any annual financial statements of the company required by this Act. | A person who holds or has a beneficial interest in any securities issued by a company | Company |
| Companies Act 71 of 2008 | 31(2) | Annual financial statements | If a judgment creditor of a company has been informed, by a person whose duty it is to execute the judgment, that there appears to be insufficient disposable property to satisfy that judgment, the judgment creditor is entitled within five business days after making a demand, to receive without charge, one copy of the most recent annual financial statements of the company. | Judgment creditor who has been informed that there appears to be insufficient disposable property to satisfy the judgment. | Company |
| Companies Act 71 of 2008 | 31(3) | Financial statements | Trade unions must, through the Commission and under conditions as determined by the Commission, be given access to company financial statements for purposes of initiating a business rescue process. | Trade unions initiating a business rescue process | Company |
| Companies Act 71 of 2008 | 52(2) | Uncertificated securities register | A person who wishes to inspect an uncertificated securities register may do so only— 1. through the relevant company in terms of section 26; and 2. in accordance with the rules of the central securities depository. Within five business days after the date of a request for inspection, a company must produce a record of the uncertificated securities register, which record must reflect at least the details referred to in section 50 (3) (b) at the close of business on the day on which the request for inspection was made. | Any person | Company |
| Companies Act 71 of 2008 | 56(5) | 1. Particulars of the extent of the beneficial interest held during the three years preceding the date of the notice; and | A company that knows or has reasonable cause to believe that any of its securities are held by one person for the beneficial interest of another, by notice in writing, may require either of those persons to: | A company that knows or has reasonable cause to believe that any of its securities are held by | Person which hold securities for the beneficial interest of another |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | 3. Identity of each person with a beneficial interest in the securities held by that person. | 1. confirm or deny that fact; 2. provide particulars of the extent of the beneficial interest held during the three years preceding the date of the notice; and 3. disclose the identity of each person with a beneficial interest in the securities held by that person. | one person for the beneficial interest of another | |
| Companies Act 71 of 2008 | 60(4) | A statement describing the results of the vote, consent process, or election of a shareholder's meeting. | Within 10 business days after adopting a resolution, or conducting an election of directors, in terms of this section, the company must deliver a statement describing the results of the vote, consent process, or election to every shareholder who was entitled to vote on or consent to the resolution, or vote in the election of the director, as the case may be. | Shareholders who were entitled to vote on or consent to the resolution, or vote in the election of the director. | Company that has adopted a resolution or has conducted an election of directors. |
| Companies Act 71 of 2008 | 93(1) | 1. Accounting records and all books and documents of the company, 2. In the case of the auditor of a holding company: all current and former financial statements of any subsidiary of that holding company and any information and explanations in connection with any such statements and in connection with the accounting records, books and documents of the subsidiary as necessary for the performance of the auditor's duties; and 3. Receive all notices of and other communications relating to any general shareholders meeting. | The auditor of a company— 1. has the right of access at all times to the accounting records and all books and documents of the company, and is entitled to require from the directors or prescribed officers of the company any information and explanations necessary for the performance of the auditor's duties; 2. in the case of the auditor of a holding company, has the right of access to all current and former financial statements of any subsidiary of that holding company and is entitled to require from the directors or officers of the holding company or subsidiary any information and explanations in connection with any such statements and in connection with the accounting records, books and documents of the subsidiary as necessary for the performance of the auditor's duties; and 3. is entitled to— 3.1. attend any general shareholders meeting; 3.2. receive all notices of and other communications relating to any general shareholders meeting; and 3.3. be heard at any general shareholders meeting contemplated in this paragraph on any part of the business of the meeting that concerns the auditor's duties or functions. | Auditor of a company | Company |
| Companies Act 71 of 2008 | 97(2)(b) | Written statement setting out: 1. full particulars of the nature of the | A compliance officer who is appointed in respect of any employee share scheme must provide a written | Any employee who receives an offer of | A compliance officer who is appointed in respect of |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | transaction, including the risks associated with it; 2. information relating to the company, including its latest annual financial statements, the general nature of its business and its profit history over the last three years; and 3. full particulars of any material changes that occur in respect of any information provided. | statement to any employee who receives an offer of specified shares in terms of that employee scheme, setting out: 1. full particulars of the nature of the transaction, including the risks associated with it; 2. information relating to the company, including its latest annual financial statements, the general nature of its business and its profit history over the last three years; and 3. full particulars of any material changes that occur in respect of any information provided in terms of subparagraph (i) or (ii); | specified shares in terms of that employee scheme | any employee share scheme |
| Companies Act 71 of 2008 | 129(7) | Written notice setting out the that it is unlikely that he company will be able to pay all of its debts as they become due and payable within the immediate ensuing 6 months or that it is likely that the company will become insolent within the immediately ensuing 6 months, and its reasons for not adopting a resolution of business rescue proceedings. | If the board of a company has reasonable grounds to believe that the company is financially distressed, but the board has not adopted a resolution contemplated in this section, the board must deliver a written notice to each affected person, setting out the criteria referred to in section 128 (1) (f) that are applicable to the company, and its reasons for not adopting a resolution contemplated in this section. | Every affected person | The board of a company has reasonable grounds to believe that the company is financially distressed, but the board has not adopted a resolution contemplated in this section, |
| Companies Act 71 of 2008 | 142(1) | All books and records that relate to the affairs of the company and are in the director's possession. | As soon as practicable after business rescue proceedings begin, each director of a company must deliver to the practitioner all books and records that relate to the affairs of the company and are in the director's possession. | Business rescue practitioner | Director of a company in which business rescue proceedings has begun |
| Companies Act 71 of 2008 | 142(3) | A statement of affairs containing, at a minimum, particulars of the following: 1. Any material transactions involving the company or the assets of the company, and occurring within 12 months immediately before the business rescue proceedings began; 2. any court, arbitration or administrative proceedings, including pending enforcement proceedings, involving the company; 3. the assets and liabilities of the company, and its income and disbursements within the immediately preceding 12 months; | Within five business days after business rescue proceedings begin, or such longer period as the practitioner allows, the directors of a company must provide the practitioner with a statement of affairs containing, at a minimum, particulars of the following: 1. Any material transactions involving the company or the assets of the company, and occurring within 12 months immediately before the business rescue proceedings began; 2. any court, arbitration or administrative proceedings, including pending enforcement proceedings, involving the company; 3. the assets and liabilities of the company, and its income and disbursements within the immediately preceding 12 months; | Business rescue practitioner | Directors of a company in which business rescue proceedings has begun |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | 4. the number of employees, and any collective agreements or other agreements relating to the rights of employees; 5. any debtors and their obligations to the company; and 6. any creditors and their rights or claims against the company. | 4. the number of employees, and any collective agreements or other agreements relating to the rights of employees; 5. any debtors and their obligations to the company; and any creditors and their rights or claims against the company. | | |
| Companies Act 71 of 2008 | 178(1) | Any article or document that has a bearing on the investigation and any information about any article or document from the owner of, or person in control of, the premises or from any person who has control of the article or document, or from any other person who may have the information. | A person who is authorised under section 177 to enter and search premises may: 1. Search any person on those premises if there are reasonable grounds for believing that the person has personal possession of an article or document that has a bearing on the investigation; 2. Examine any article or document that is on or in those premises that has a bearing on the investigation; 3. Request information about any article or document from the owner of, or person in control of, the premises or from any person who has control of the article or document, or from any other person who may have the information; 4. Take extracts from, or make copies of, any book or document that is on or in the premises that has a bearing on the investigation; | A person who is authorised to enter and search any premises by a warrant issued by a judge of the High Court or Magistrate Court | Any person |
| Companies Act 71 of 2008 | 182(c) | Any book, document or item necessary for the purposes of the hearing. | The Companies Tribunal may summon or order any person to produce any book, document or item necessary for the purposes of the hearing. | Companies Tribunal | Any person |
| Compensation for Occupational Injuries and Diseases Act 130 of 1993 | 6(1)(a) read with 6(2) | Any book, document or thing, in the possession or custody of that person which has a bearing on the inquiry of the Director General of the Department of Labour. | The Director-General may subpoena any person who in his opinion is able to give information concerning the subject of any inquiry in terms of this Act, or who is suspected to have or in the opinion of the Director-General has in his possession or custody or under his control any book, document or thing which has a bearing on the inquiry, to appear before him at a time and place specified in the subpoena, to be interrogated or to produce such book, document or thing, and the Director-General may retain such book, document or thing for further investigation. The Director-General may call and administer an oath to, or accept an affirmation from, any person present at such an inquiry who was or | Director General of the Department of Labour | Applicable to any person |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | could have been subpoenaed in terms of subsection (1), and the Director-General or an assessor may interrogate such person and order him to produce any book, document or thing in his possession or custody or under his control. | | |
| Compensation for Occupational Injuries and Diseases Act 130 of 1993 | 7(3)(c) | Any book, document or thing as ordered by an authorised person to be produced. | An authorized person may order any person who has control over or custody of any book, document or thing on or in those premises to produce to him forthwith, or at such time and place as may be determined by him, such book, document or thing; | Authorised person (The Director-General Department of Labour may authorize any assessor, any officer or employee referred to in section 1 of the Public Service Act, 1984 (Act No. 111 of 1984), or any medical practitioner to investigate any matter that he may deem necessary for the performance of his functions.) | Applicable to any person |
| Compensation for Occupational Injuries and Diseases Act 130 of 1993 | 7(3)(d) | Any book, document or thing relating to the business of an employer or previous employer. | An authorized person may at any time and place order any person who has the possession or custody of or is in the control of a book, document or thing relating to the business of an employer or previous employer, to produce forthwith or at such time and place as may be determined by him, such book, document or thing; | Authorised person (The Director-General Department of Labour may authorize any assessor, any officer or employee referred to in section 1 of the Public Service Act, 1984 (Act No. 111 of 1984), or any medical practitioner to investigate any matter that he may deem necessary for the performance of his functions.) | Applicable to an employer or previous employer |
| Compensation for Occupational Injuries and Diseases Act 130 of 1993 | 7(3)(e) | Any book, document or thing which in the opinion of an Authorised person may serve as evidence in any matter in terms of the Compensation for Occupational Injuries and Diseases Act. | An authorized person may seize any book, document or thing which in his opinion may serve as evidence in any matter in terms of this Act. | Authorised person (The Director-General Department of Labour may authorize any assessor, any officer or employee referred to in section 1 of the Public | Applicable to an employer or previous employer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | | Service Act, 1984 (Act No. 111 of 1984), or any medical practitioner to investigate any matter that he may deem necessary for the performance of his functions.) | |
| Compensation for Occupational Injuries and Diseases Act 130 of 1993 | 39(12) | Notice of the accident furnished by the employer to the commissioner in respect of a claim for compensation by such employee or dependent | An employer shall at the request of an employee or the dependent of an employee furnish such employee or dependent with a copy of the notice of the accident furnished by the employer to the commissioner in respect of a claim for compensation by such employee or dependent. | Employee or dependent of employee involved in the accident | Applicable to an employer |
| Compensation for Occupational Injuries and Diseases Act 130 of 1993 | 40(2) | Particulars regarding the accident and injuries obtained at work, as the Director-General may require. | An employee or employer shall, at the request of the Director-General, furnish such further particulars regarding the accident and injuries concerned as the Director-General may require. | Director General Department of Labour | Applicable to an employer and employee |
| Compensation for Occupational Injuries and Diseases Act 130 of 1993 | 41(1) | A claim, medical report or other documents or information concerning the claim to the Compensation Commissioner. | An employer shall within seven days after having received a claim, medical report or other documents or information concerning such claim send such claim, report, documents or information to the commissioner. | Compensation Commissioner | Applicable to an employer |
| Compensation for Occupational Injuries and Diseases Act 130 of 1993 | 81(1) | Register or other record of the earnings and other prescribed particulars of all the employees | An employer shall keep a register or other record of the earnings and other prescribed particulars of all the employees, and shall at all reasonable times produce such register or record or a microfilm or other microform reproduction thereof on demand to an authorized person referred to in section 7 for inspection. | Authorised person (The Director-General Department of Labour may authorize any assessor, any officer or employee referred to in section 1 of the Public Service Act, 1984 (Act No. 111 of 1984), or any medical practitioner to investigate any matter that he may deem necessary for the performance of his functions.) | Applicable to an employer |
| Compensation for Occupational Injuries and Diseases Act 130 of 1993 | 81(4) | Any register, record or document which the employer must maintain, keep or complete in terms of the Compensation for Occupational Injuries and Diseases | A health and safety representative elected in terms of the Occupational Health and Safety Act 85 of 1993, or the Mine Health and Safety Act 29 of 1996, and a trade union representative elected in terms of section | A health and safety representative elected in terms of the Occupational Health | Applicable to an employer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | Act | 14 of the Labour Relations Act 66 of 1995, shall have the right to inspect, and where appropriate bring to the attention of the commissioner, any register, record or document which the employer must maintain, keep or complete in terms of this Act. | and Safety Act 85 of 1993, or the Mine Health and Safety Act 29 of 1996, and a trade union representative elected in terms of section 14 of the Labour Relations Act 66 of 1995 | |
| Competition Act 89 of 1998 | Rule 37(4) | Records requested by the Competition Tribunal regarding a notice of revocation of an approval or additional approval of a merger. | The Competition Tribunal may request further information from any person who submits a representation in response to a notice of revocation published in the Government Gazette. | Competition Commission | Only applicable if Competition Tribunal regarding a notice of revocation published in the Government Gazette representations have been sent to |
| Competition Act 89 of 1998 | 48(1)(d) | Any article or document on the premises that has a bearing on the investigation. | A person who is authorised under section 46 or 47 to enter and search premises may examine any article or document that is on or in those premises that has a bearing on the investigation. | Person authorised under a search warrant or an inspector not authorised by a warrant to search the property | Applicable to any person |
| Competition Act 89 of 1998 | 48(1)(e) | Information about any article or document from the owner of, or person in control of, the premises or from any person who has control of the article or document, or from any other person who may have the information. | A person who is authorised under section 46 or 47 to enter and search premises may request information about any article or document from the owner of, or person in control of, the premises or from any person who has control of the article or document, or from any other person who may have the information. | Person authorised under a search warrant or an inspector not authorised by a warrant to search the property | Owner of, or person in control of, the premises or from any person who has control of the article or document, or from any other person who may have the information. |
| Competition Act 89 of 1998 | 48(1)(g) | Any data contained in or available to the computer system being searched. | A person who is authorised under section 46 or 47 to enter and search premises may use any computer system on the premises, or require assistance of any person on the premises to use that computer system, to: <ol style="list-style-type: none"> 1. search any data contained in or available to that computer system; 2. reproduce any record from that data; and 3. seize any output from that computer for examination and copying. | Person authorised under a search warrant or an inspector not authorised by a warrant to search the property | Applicable to any person |
| Competition Act 89 of 1998 | 49A(1)(b) | Any book, document or other object specified in the summons from the Competition Commissioner. | At any time during an investigation in terms of this Act, the Commissioner may summon any person who is believed to be able to furnish any information on the subject of the investigation, or to have possession | Competition Commissioner | Applicable to any person |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | or control of any book, document or other object that has a bearing on that subject at a time and place specified in the summons, to deliver or produce to the Commissioner, or a person authorised by the Commissioner, any book, document or other object specified in the summons. | | |
| Competition Act 89 of 1998 | 54(c) | Any book, document or item necessary for the purposes of the hearing of the Competition Tribunal. | The member of the Competition Tribunal presiding at a hearing may summon or order any person to produce any book, document or item necessary for the purposes of the hearing. | Competition Tribunal | Applicable to any person |
| Competition Act 89 of 1998 | 56(3) | Any article or document requested by the Competition Tribunal. | The Competition Tribunal may order a person to answer any question, or to produce any article or document, even if it is self-incriminating to do so. | Competition Tribunal | Applicable to any person |
| Consumer Protection Act 68 of 2008 | Notice 293 of 1 April 2011 section 9(1) and (2) | <p>Intermediary's:</p> <ol style="list-style-type: none"> 1. full names, physical business address, postal address, phone numbers, cellular telephone number, facsimile number, email address and any registration number assigned or issued to the intermediary by any regulatory body; 2. identity number, or if the intermediary is a juristic person, its relevant registration number; 3. If the intermediary is a juristic person, the contact details of its public officers; 4. Specify the exact service to be rendered by the intermediary; 5. At the request of the consumer, disclose the fee payable to the intermediary for services provided by the intermediary including the basis for calculating the fee; 6. Inform the consumer of any other costs the intermediary is entitled to recover from the consumer, and under what circumstances; 7. Specify the frequency with which the intermediary will in writing account to the consumer in respect of his, her or its mandate; 8. At the request of the consumer, | <p>An intermediary must disclose to a person the following information:</p> <ol style="list-style-type: none"> 1. His, her or its full names, physical business address, postal address, phone numbers, cellular telephone number, facsimile number, email address and any registration number assigned or issued to the intermediary by any regulatory body; 2. His or her identity number, or if the intermediary is a juristic person, its relevant registration number; 3. If the intermediary is a juristic person, the contact details of its public officers; 4. Specify the exact service to be rendered by the intermediary; 5. At the request of the consumer, disclose the fee payable to the intermediary for services provided by the intermediary including the basis for calculating the fee; 6. Inform the consumer of any other costs the intermediary is entitled to recover from the consumer, and under what circumstances; 7. Specify the frequency with which the intermediary will in writing account to the consumer in respect of his, her or its mandate; 8. At the request of the consumer, specify how, when and how often any amount owing to the consumer will be paid to the consumer; 9. Disclose any information, at any relevant | <ol style="list-style-type: none"> 1. Any person whom the intermediary solicits or agrees to represent with respect to the sale of any property or services, or from whom the intermediary accepts any property for the purpose of offering it for sale; and 2. Any person from whom the intermediary solicits an offer, or to whom the intermediary offers to supply or supplies any service to be performed by a third person; or any goods or property belonging to a third person. | <p>Intermediary [a person who, in the ordinary course of business and for remuneration or gain, engages in the business of:</p> <ol style="list-style-type: none"> (a) representing another person with respect to the actual or potential supply of any goods or services; (b) accepting possession of any goods or other property from a person for the purpose of offering the property for sale; or (c) offering to sell to a consumer, soliciting offers for or selling to a consumer any goods or property that belongs to a third person, or service to be supplied by a third person, but does not include a person whose activities as an intermediary are regulated in terms of any other national legislation.] |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | <p>specify how, when and how often any amount owing to the consumer will be paid to the consumer;</p> <p>9. Disclose any information, at any relevant time, which may be relevant to the consumer when deciding whether to acquire the service rendered by the intermediary, or whether to continue with an existing service;</p> <p>10. Disclose commission, consideration fees, charges or brokerages payable to the intermediary by any other person;</p> <p>11. Provide details of any code of conduct or other standard applicable to the intermediary or the service being rendered or to be rendered, as the case may be;</p> <p>12. Disclose whether he or she or it has ever been: (i) found guilty of any offence involving dishonesty which was punishable by criminal imprisonment without the option of a fine; (ii) placed under sequestration, liquidation or judicial management; (iii) or still is an unrehabilitated insolvent; and</p> <p>13. Disclose any other information which may be relevant and which he or she may reasonably be expected to be aware of.</p> | <p>time, which may be relevant to the consumer when deciding whether to acquire the service rendered by the intermediary, or whether to continue with an existing service;</p> <p>10. Disclose commission, consideration fees, charges or brokerages payable to the intermediary by any other person;</p> <p>11. Provide details of any code of conduct or other standard applicable to the intermediary or the service being rendered or to be rendered, as the case may be;</p> <p>12. Disclose whether he or she or it has ever been: (i) found guilty of any offence involving dishonesty which was punishable by criminal imprisonment without the option of a fine; (ii) placed under sequestration, liquidation or judicial management; (iii) or still is an unrehabilitated insolvent; and</p> <p>13. Disclose any other information which may be relevant and which he or she may reasonably be expected to be aware of.</p> | | |
| Constitution of the Republic of South Africa | 32 (1) | Any information held | Everyone has the right of access to – (a) any information held by the state; and (b) any information that is held by another person and that is required for the exercise or protection of any rights. | All members of the public | |
| Criminal Procedures Act 51 of 1977 | 236 | Record of or in possession of bank | The entries in the accounting records of a bank, and any document which is in the possession of any bank and which refers to the said entries or to any business transaction of the bank, shall, upon the mere production at criminal proceedings of a document purporting to be an affidavit made by any person who in that affidavit alleges (a) that he is in the service of the bank in question; (b) that such accounting records or document is or has | Accused Person | Bank |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | <p>been the ordinary records or document of such bank;</p> <p>(c) that the said entries have been made in the usual and ordinary course of the business of such bank or the said document has been compiled, printed or obtained in the usual and ordinary course of the business of such bank; and</p> <p>(d) that such accounting records or document is in the custody or under the control of such bank,</p> <p>2. Any entry in any accounting record referred to in subsection (1) or any document referred to in subsection (1) may be proved at criminal proceedings upon the mere production at such proceedings of a document purporting to be an affidavit made by any person who in that affidavit alleges</p> <p>(a) that he is in the service of the bank in question;</p> <p>(b) that he has examined the entry, accounting record or document in question; and</p> <p>(c) that a copy of such entry or document set out in the affidavit or in an annexure thereto is a correct copy of such entry or document.</p> <p>3. Any party at the proceedings in question against whom evidence is adduced in terms of this section or against whom it is intended to adduce evidence in terms of this section, may, upon the order of the court before which the proceedings are pending, inspect the original of the document or entry in question and any accounting record in which such entry appears or of which such entry forms part, and such party may make copies of such document or entry, and the court shall, upon the application of the party concerned, adjourn the proceedings for the purpose of such inspection or the making of such copies.</p> <p>4. No bank shall be compelled to produce any accounting record referred to in subsection (1) at any criminal proceedings, unless the court concerned orders that any such record be produced.</p> <p>5. In this section: 'document' includes a recording or transcribed computer printout produced by any mechanical or electronic device and any device by means of which information is recorded or stored; and 'entry' includes any notation in the accounting records of a bank by any means whatsoever. Accused Person</p> | | |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | be prima facie proof at such proceedings of the matters, transactions and accounts recorded in such accounting records or document. | | |
| Consumer Protection Act 68 of 2008 | Notice 293 of 1 April 2011 section 9(1) and (2) | Disclosure to a consumer of the existence of any circumstance or any personal interest in the relevant service or goods which gives rise or may give rise to an actual or potential conflict of interest, or perception of conflict of interest, in relation to the intermediary, and the intermediary must take all reasonable steps to ensure fair treatment of the consumer. | An intermediary must immediately in writing disclose to a consumer the existence of any circumstance or any personal interest in the relevant service or goods which gives rise or may give rise to an actual or potential conflict of interest, or perception of conflict of interest, in relation to the intermediary, and the intermediary must take all reasonable steps to ensure fair treatment of the consumer. | Consumer | Intermediary [a person who, in the ordinary course of business and for remuneration or gain, engages in the business of: representing another person with respect to the actual or potential supply of any goods or services; (a) accepting possession of any goods or other property from a person for the purpose of offering the property for sale; or (a) offering to sell to a consumer, soliciting offers for or selling to a consumer any goods or property that belongs to a third person, or service to be supplied by a third person, but does not include a person whose activities as an intermediary are regulated in terms of any other national legislation.] |
| Consumer Protection Act 68 of 2008 | Notice 293 of 1 April 2011 section 9(4) | The existence of any circumstance or any personal interest in the service or goods of the intermediary, which gives rise or may give rise to an actual or potential conflict of interest, or perception of conflict of interest, in relation to the intermediary. | a consumer the existence of any circumstance or any personal interest in the relevant service or goods which gives rise or may give rise to an actual or potential conflict of interest, or perception of conflict of interest, in relation to the intermediary, and the intermediary must take all reasonable steps to ensure fair treatment of the consumer. | Consumer | Intermediary -a person who, in the ordinary course of business and for remuneration or gain, engages in the business of: (a) representing another person with respect to the actual or potential supply of any goods or services; (b) accepting possession of any goods or other |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | | | <p>property from a person for the purpose of offering the property for sale; or</p> <p>(c) offering to sell to a consumer, soliciting offers for or selling to a consumer any goods or</p> <p>(d) property that belongs to a third person, or</p> <p>(e) service to be supplied by a third person, but does not include a person whose activities as an intermediary are regulated in terms of any other national legislation.]</p> |
| Consumer Protection Act 68 of 2008 | Notice 293 of 1 April 2011 section 11(7) | Report based on the following documents: <ol style="list-style-type: none"> 1. full details of the promoter, including identity or registration numbers, as the case may be, addresses and contact numbers; 2. the rules of the promotional competition; 3. a copy of the offer to participate in a promotional competition contemplated in section 36(5); 4. the names and identity numbers of the persons responsible for conducting the promotional competition; 5. a full list of all the prizes offered in the promotional competition; 6. a representative selection of materials marketing the | A promoter must upon request in writing by the Commission submit a report based on documents or materials contemplated in subregulation (6) to the Commission. | National Consumer Commissioner | Promoter when requested by the: <ol style="list-style-type: none"> (a) advertise, display or offer to supply any goods or services in the ordinary course of business, to all or part of the public for consideration; (b) make any representation in the ordinary course of business that could reasonably be inferred as expressing a willingness to supply any goods or services for consideration; or (c) engage in any other conduct in the ordinary |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | <p>promotional competition or an electronic copy thereof, but such copy must be easily accessible in a generally available format;</p> <ol style="list-style-type: none"> 7. a list of all instances when the promotional competition was marketed, including details on the dates, the medium used and places where the marketing took place; 8. the names and identity numbers of the persons responsible for conducting the selection of prize winners in the promotional competition; 9. an acknowledgment of receipt of the prize signed by the prize winner, or legal guardian where applicable, and his or her identity number, and the date of receipt of the prize, or where this is not possible, proof by the promoter that the prize was sent by post or other electronic means to the winner using his or her provided details; 10. declarations by the persons contemplated in 4 made under oath or affirmation that the prize winners were to their best knowledge not directors, members, partners, employees, agents or consultants of or any other person who directly or indirectly controls or is controlled by the promoter or marketing service providers in respect of the promotional competition, or the spouses, life partners, business partners or immediate family members. 11. the basis on which the prize winners were determined; 12. the summary describing the proceedings to determine the | | | <p>course of business that may reasonably be construed to be an inducement or attempted inducement to a person to engage in a transaction;)</p> |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | <p>winners, including the names of the persons participating in determining the prize winners, the date and place where that determination took place and whether those proceedings were open to the general public;</p> <p>13. whether an independent person oversaw the determination of the prize winners, and his or her name and identity number;</p> <p>14. the means by which the prize winners were announced and the frequency thereof;</p> <p>15. a list of the names and identity numbers of the prize winners;</p> <p>16. a list of the dates when the prizes were handed over or paid to the prize winners;</p> <p>17. in the event that a prize winner could not be contacted, the steps taken by the promoter to contact the winner or otherwise inform the winner of his or her winning a prize; and</p> <p>18. in the event that a prize winner did not receive or accept his or her prize, the reason for his or her not so receiving or accepting the prize, and the steps taken by the promoter to hand over or pay the prize to that prize winner.</p> | | | |
| Consumer Protection Act 68 of 2008 | Notice 293 of 1 April 2011 section 20(4) | Copy of the advertisement of the auction. | <p>A consumer may at any time during ordinary business hours request an auctioneer to provide him or her with access to an advertisement contemplated in subregulation (2), and the auctioneer must forthwith without charging any fee whatsoever comply with such a request, but—</p> <p>1. a consumer is entitled to only one free copy;</p> <p>2. the auctioneer may provide a URL of an operational website which will provide a copy of the full advertisement in a format generally used.</p> | Consumer | Only applicable to the auctioneer. |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Consumer Protection Act 68 of 2008 | Notice 293 of 1 April 2011 section 22(9) | Itemised account of all goods sold immediately upon completion of the auction which must contain: 1. the item or lot sold, 2. amount received for the sold item or lot; and 3. the name of the buyers of every item or lot. | The owner or rightful holder (who has the right to sell) must be provided with an itemised account of all goods sold immediately upon completion of the auction unless otherwise agreed, which as a minimum must contain: 1. the item or lot sold, 2. amount received for the sold item or lot; and 3. the name of the buyers of every item or lot. | The owner or rightful holder of the goods sold | Only applicable to auctions |
| Consumer Protection Act 68 of 2008 | Notice 293 of 1 April 2011 section 26(5) | Bidders record | The bidders' record is available for public inspection in respect of the names of bidders and the bidders numbers at any time, free of charge— 1. during an auction, at the premises where the auction is being held; and 2. before or after an auction, at the auction house or auctioneer's place of business and during normal business hours. | Any person | Only applicable to auctions |
| Consumer Protection Act 68 of 2008 | Notice 293 of 1 April 2011 section 31(2) | Any record relating to auctions. | Any person in possession of any record contemplated in regulations 18 to 33 must forthwith upon receipt of a written request at his or her own cost provide the Commission or any forum empowered to administer the Act or an owner or rightful holder (whose goods were on auction at the auction in question) or a registered bidder (at the auction in question) with true copies of the record so requested or which may be relevant to any record so requested, but if the original record is expressly requested, that original record must be made available for inspection. | The National Consumer Commission or any forum empowered to administer the consumer Protection Act or an owner or rightful holder (whose goods were on auction at the auction in question) or a registered bidder (at the auction in question) | Only applicable to auctions |
| Deeds Registries Act 47 of 1937 | 4(1)(a) | Proof of any fact necessary to be established in connection with any matter or thing sought to be performed or effected by the deeds registry. | Each registrar has the power to require the production of proof upon affidavit or otherwise of any fact necessary to be established in connection with any matter or thing sought to be performed or effected in his registry. | Registrar of Deeds | Any person |
| Designs Act 195 of 1993 | 7(2) | Design records | Copies of all deeds, agreements, licences and other documents affecting any registered design or application for the registration of a design which are required to be recorded in the register, shall be supplied to the registrar in the prescribed manner for filing in the designs office. | Registrar | Any person |
| Employment Equity Act 55 of 1998 | 18(1) | All relevant information that will allow the parties to consult effectively regarding affirmative action in terms of Chapter 3 of | When a designated employer engages in consultation in terms of this Chapter, that employer must disclose to the consulting parties all relevant information that | All consulting parties involved in the affirmative action. | Applicable to a designated employer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | the Act. | will allow those parties to consult effectively. | | |
| Employment Equity Act 55 of 1998 | 25(3) | Employment equity plan | An employer who has an employment equity plan, must make a copy of the plan available to its employees for copying and consultation. | Employees | Employer |
| Employment Equity Act 55 of 1998 | 26 | An employer must establish and, for the prescribed period, maintain records in respect of its workforce, its employment equity plan and any other records relevant to its compliance with this Act. | | Employees | Employer |
| Employment Equity Act 55 of 1998 | 27(1) | Statement, as prescribed, to the Employment Conditions Commission, on the remuneration and benefits received in each occupational category and level of that employer's workforce. | Every designated employer, when reporting in terms of section 21 (1), must submit a statement, as prescribed, to the Employment Conditions Commission established by section 59 of the Basic Conditions of Employment Act, on the remuneration and benefits received in each occupational level of that employer's workforce. | Employment Conditions Commission | Applicable to a designated employer |
| Employment Equity Act 55 of 1998 | 43(2)(b) | Any book, record, correspondence, document or information that could be relevant to the review of the employer's compliance with the employment Equity Act. | In order to conduct a review to determine that the employer is complying with the Employment Equity Act, the Director-General may request an employer to submit to the Director-General any book, record, correspondence, document or information that could reasonably be relevant to the review of the employer's compliance with this Act. | Director General of the Department of Labour | Applicable to an employer |
| Employment Equity Act 55 of 1998 | Notice 1298 of 1 December 2000 section 9.2 | Information which will assist employees that were occupationally exposed to HIV with the application for compensation in terms of the Compensation for Occupational Injuries and Diseases Act. | Employers should take reasonable steps to assist employees with the application for benefits including: 1. providing information to affected employees on the procedures that will need to be followed in order to qualify for a compensation claim; and 2. assisting with the collection of information which will assist with proving that the employees were occupationally exposed to HIV infected blood. | Employees | Employer |
| Financial Advisory and intermediary Services Act 37 of 2002 | 4(2) | Information or documents required by the Financial Services Conduct Authority | The Financial Services Conduct Authority may by notice direct an authorised financial services provider or representative to furnish the Financial Services Conduct Authority, within a specified period, with specified information or documents required by the Financial Services Conduct Authority for the purposes of this Act. | Financial Services Conduct Authority | Authorised financial services providers |
| Financial Advisory and intermediary | 4(4)(a)(i) read with (b) | Any specified information or documents which relate to the subject-matter of a person contravening or failure to comply | If there is reason to believe that a person is contravening or failing to comply with, or has contravened or failed to comply with, a provision of | Financial Services Conduct Authority | A person who is contravening or failing to comply with, or has |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Services Act 37 of 2002 | | with a provision of the Financial Advisory and Intermediary Services Act. | <p>this Act, the Financial Services Conduct Authority may by notice direct that person to furnish the Financial Services Conduct Authority within a specified period with any specified information or documents in the possession or under the control of that person and which relate to the subject-matter of such contravention or failure;</p> <p>A person conducting an on-site visit in terms of paragraph (a) (i) may:</p> <ol style="list-style-type: none"> 1. at any time during business hours: <ol style="list-style-type: none"> 1.1. enter the premises of the provider or representative and the provider or representative must upon request provide any document; 1.2. search the premises of the provider or representative for any document; 1.3. examine, make extracts from and copy any document or, against the issue of a receipt, temporarily remove the document; 1.4. seize any document against the issue of a receipt, which may furnish proof of any failure to comply with the provisions of this Act; 2. require the provider or representative to produce at a specified time and place any specified documents or documents of a specified description in the possession or under the control of the provider or representative; 3. require any person that is holding or is accountable for any document to provide information and an explanation of that information. | | contravened or failed to comply with, a provision of the Financial Advisory and Intermediary Services Act. |
| Financial Advisory and intermediary Services Act 37 of 2002 | 13(3) | Register of representatives and key individuals of such representatives | The authorised financial services provider must maintain a register of representatives, and key individuals of such representatives, which must be regularly updated and be available to the Financial Services Conduct Authority for reference or inspection purposes. | Financial Services Conduct Authority | Authorised financial services |
| Financial Advisory and intermediary Services Act 37 of 2002 | 19(2)(b)(iii) | Annual financial statements | The financial statements must be submitted by the authorised financial services provider to the Financial Services Conduct Authority not later than four months after the end of the provider's financial year or such longer period as may be allowed by the Financial Services Conduct Authority. | Financial Services Conduct Authority | Authorised financial services providers |
| Financial | 19(3) | Report confirming: | The authorised financial services provider must | Financial Services | Authorised financial |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Advisory and intermediary Services Act 37 of 2002 | | <p>1. the amount of money and financial products at year end held by the provider on behalf of clients;</p> <p>2. 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 report any instance of non-compliance identified in the course of the audit and the extent thereof; and</p> <p>3. any other information required by the Financial Services Conduct Authority.</p> | <p>maintain records in respect of money and financial products held on behalf of clients, and must, submit to the Financial Services Conduct Authority a report, by the auditor who performed the audit, which confirms, in the form and manner determined by the Financial Services Conduct Authority by notice in the Gazette for different categories of financial services providers—</p> <p>1. the amount of money and financial products at year end held by the provider on behalf of clients;</p> <p>2. 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 report any instance of non-compliance identified in the course of the audit and the extent thereof; and</p> <p>3. any other information required by the Financial Services Conduct Authority.</p> | Conduct Authority | services providers |
| Financial Advisory and intermediary Services Act 37 of 2002 | Notice 126 of 9 September 2010 section 4(7)(d)(ii) | Any records and or documents regarding the rendering of services under supervision. | Supervision arrangements must be arranged in accordance with the following specific requirements: The supervisee must adhere to the requirements of the supervision agreement and provide the supervisor with any records and or documents regarding the rendering of services under supervision. | Supervisor (means an approved compliance officer responsible for direct supervision and ongoing level of supervision of a supervisee) | Supervisee (means a person who meets the qualification requirements and who renders services under supervision until the required requirements for, experience and regulatory examination have been met by that person) |
| Financial Advisory and intermediary Services Act 37 of 2002 | Notice 126 of 9 September 2010 section 4(7)(c)(iv) | Evidence of the supervision actions undertaken in terms of supervision agreement. | Supervision arrangements must be arranged in accordance with the following specific requirements: the financial services provider must ensure that the supervisor is able to provide evidence of the supervision actions undertaken and such evidence must be available for scrutiny by the Financial Services Conduct Authority. | Authorised financial services providers and the Financial Services Conduct Authority | Supervisor (means an approved compliance officer responsible for direct supervision and ongoing level of supervision of a supervisee) |
| Financial Advisory and intermediary | Notice 102 of 29 September 2004 section 8(a) | Statement of account in connection with any financial service rendered to the client. | A provider must where applicable, at the request of a client, provide the client with a statement of account in connection with any financial service | Client | Authorised Financial Services Providers and |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Services Act 37 of 2002 | | | rendered to the client, unless otherwise agreed. | | Representatives conducting Short-term Deposit Business |
| Financial Advisory and intermediary Services Act 37 of 2002 | Notice 102 of 29 September 2004 section 10(2)(b) | Electronic, voice logged record of all communications. | Where a provider advertises a deposit by telephone a copy of all such records must be provided on request by the client or the Financial Services Conduct Authority within seven days of the request; | Client or the Financial Services Conduct Authority | Authorised financial services providers conducting Short-term Deposit Business that advertise a deposit by phone |
| Financial Advisory and intermediary Services Act 37 of 2002 | Notice 39 of 30 March 2004 section 5(1) | Report detailing investment performance of a managed forex investments account. | A forex investment intermediary must furnish a written report to a client, on request; and in the case of managed forex investments, providing for reporting in printed format, or electronically if so desired by the client, on a monthly basis, detailing investment performance up to and including the last day of the previous calendar month, if applicable. | Client | A forex investment intermediary managing forex account |
| Financial Advisory and intermediary Services Act 37 of 2002 | Notice 39 of 30 March 2004 section 10(1) and (2) | Record of any advice furnished to a client, by a forex investment advisor which must reflect the basis on which the advice was given, and in particular: 1. a brief summary of the information and material on which the advice was based; 2. the financial products which were considered; and 3. a description of the particular forex investment that was recommended and an explanation of why a forex investment is likely to satisfy the client's identified needs and objectives. | A forex investment advisor must, subject to and in addition to the duties imposed by section 18 of the Act, maintain a record of any advice furnished to a client, and which record must reflect the basis on which the advice was given, and in particular: 1. a brief summary of the information and material on which the advice was based; 2. the financial products which were considered; and 3. a description of the particular forex investment that was recommended and an explanation of why a forex investment is likely to satisfy the client's identified needs and objectives. A forex investment advisor must provide a client with a copy of the record contemplated in subsection (1) in writing. | Client | A forex investment advisor |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Financial Intelligence Centre Act 38 of 2001 | 22 | Customer due diligence records | When an accountable institution is required to obtain information pertaining to a client or prospective client pursuant to sections 21 to 21H the institution must keep a record of that information. Without limiting subsection (1), the records must— include copies of, or references to, information provided to or obtained by the accountable institution to verify a person's identity; and in the case of a business relationship, reflect the information obtained by the accountable institution under section 21A 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. | An authorised representative of the Financial Intelligence Centre | Accountable institution (see schedule 1 of the Act for a definition) |
| Financial Intelligence Centre Act 38 of 2001 | 22A | Records of transactions | An accountable institution must keep a record of every transaction, whether the transaction is a single transaction or concluded in the course of a business relationship which that accountable institution has with the client, that are reasonably necessary to enable that transaction to be readily reconstructed. Records must reflect the following information: 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 if an accountable institution provides account facilities to its clients, the identifying particulars of all accounts and the account files at the accountable institution that are related to the transaction. | The Financial Intelligence Centre, or an investigating authority acting with the permission of the Centre or under the authority of an authorised officer | Accountable institution (see schedule 1 of the Act for a definition) |
| Financial Intelligence Centre Act 38 of 2001 | 42 | Risk Management and Compliance Programme | An accountable institution must develop, document, maintain and implement a programme for anti-money laundering and counter-terrorist financing risk management and compliance. | Financial Intelligence Centre Act | Accountable institution (see schedule 1 of the Act for a definition) |
| Fund-Raising Act 107 of 1978 | 7(8) | The permission or special permission granted by the fun-raising organization to allow a person to collect contributions on their behalf. | Any person who collects or purports to collect contributions for or on behalf of a fund-raising organization, registered branch or holder shall, at the request produce the permission or special permission granted by the organization, branch or holder in question. | Any person | Any person who collects or purports to collect contributions for or on behalf of a fund-raising organization, registered branch or holder |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Fund-Raising Act 107 of 1978 | 12 | Reports, returns and financial statements of the fund-raising organisation. | Every fund-raising organization, registered branch or holder must keep the prescribed records of all the moneys received and expended by it or him and of all its or his assets and liabilities and of all financial transactions entered into by it or him and shall furnish the Director with the prescribed reports, returns and financial statements at the prescribed times. | Director of Fund-raising | Every fund-raising organization, registered branch or holder |
| Fund-Raising Act 107 of 1978 | 13 | Returns, statements, liquidation and distribution account. | If any authority or temporary authority or registration certificate lapses or is withdrawn or if a fund-raising organization or registered branch is dissolved or if such organization or branch or any holder discontinues its activities the management of such organization or branch or the holder concerned must: submit to the Director the prescribed returns, statements, liquidation and distribution account and such information as the Director may demand. | Director of Fund-raising | Only applicable if any authority or temporary authority or registration certificate lapses or is withdrawn or if a fund-raising organization or registered branch is dissolved or if such organization or branch or any holder discontinues its activities. |
| Fund-Raising Act 107 of 1978 | 30(8) | Any security, record, account or document to be inspected in terms of section 30(6)(a). | Deliver to the Director or inspector any security, record, account or document referred to in that subsection which is in his possession or under his control or to which he has access and shall at the request of the Director or inspector furnish the Director or inspector with the information relating to the affairs or activities, securities, records, accounts or documents of the said organization or person at his disposal. | Director of Fund-raising or an inspector | Any organization which or person who he has reason to suspect, is collecting contributions from the public |
| Home Loans and Mortgage Disclosure Act 63 of 2000 | 5(2) | Information to enable the Office of Home Loans Disclosure to substantiate information disclosed in terms of the Act. | The Office may require financial institutions to substantiate information disclosed where reasonable doubt may exist whether or not the information disclosed is fully accurate or comprehensive; and may investigate and institute proceedings to verify the validity of information disclosed by a financial institution in accordance with the requirements of this Act, and for that purpose, such financial institution must afford the Office all reasonable assistance and access to premises and information to enable the Office to analyse and interpret such information. | Office of Home Loans Disclosure | Financial institution (any bank or mutual bank registered as such under the Banks Act 94 of 1990), or the Mutual Banks Act No. 124 of 1993, or any other registered financial institution whose business is, in full or in part, either the acceptance of deposits from the general public, the advance of credit to |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | | | persons or any other registered financial institution whose business is, in part, either the acceptance of deposits from the general public, the advance of credit to persons or both such acceptance and advance, with the security of a registered mortgage bond or any other form of accepted security, for the purpose of providing home loans.) |
| Home Loan and Mortgage Disclosure Act 63 of 200 | Notice 842 of 13 July 2007 section 2(1)(a) | <ol style="list-style-type: none"> 1. Name of Financial Institution 2. Name of Branch 3. Property Description : (Erf No./Unit No. / Street / Township / Municipality / Province) 4. Type of home loan: (Mortgage loan / Pension or provident fund secured loan / Housing micro loan / Instalment sale under Chapter II of the Alienation of Land Act, 1981 / Other) 5. Accepted security available in respect of the home loan: (Mortgage bond/ Covering mortgage bond / Pension or provident fund guarantee / Loan guarantee policy / Life policy / Other) 6. Use for which home loan is required: (Purchase of existing home / Building of new home / Improvement of existing home / Other) 7. Home loan amount applied for (to the nearest R1 000,00) 8. Nature of application: (individual / Joint / Legal entity (close corporation, company or trust) 9. Proposed repayment to income ratio 10. Proposed loan to value ratio (in the | Financial institution must collect and capture the information set out in Annexure – A1. A financials institution must, within 60 days of each financial year end, submit to the Office the information in electronic form. The Office of Home Loans Disclosure may request a copy of the information in hard copy | Office of Home Loans Disclosure | Financial institution (any bank or mutual bank registered as such under the Banks Act 94 of 1990, or the Mutual Banks Act, 124 of 1993, or any other registered financial institution whose business is, in full or in part, either the acceptance of deposits from the general public, the advance of credit to persons or both such acceptance and advance, with the security of a registered mortgage bond or any other form of accepted security, for the purpose of providing home loans.) |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | <p>case of a mortgage loan)</p> <p>11. Status of applicant (if individual application): (Never married / Married / Divorced or separated / Widowed)</p> <p>12. Status of applicant (if joint application): (Married – under civil law / Married – under customary law / Co-habiting / Co-resident (e.g. application by mother and daughter or two brothers and sister)</p> <p>13. Gender of applicant (If a joint application, specify the gender of both or all of the applicants. If the applicant is a juristic person, specify the gender of the majority of the members.): (Male / Female)</p> <p>14. Race of applicant (If a joint application, specify the race of both or all of the applicants. If the applicant is a juristic person, specify the race of the predominant group of members of the entity.): (African / Coloured / White / Indian / Other)</p> <p>15. Income category: (R0 – R3500 / R3501 – R5500 / R5501 – R7500 / R7501 – R10000 / R10001 – R15000 / R15001 and above)</p> <p>16. Status of Application; (Approved: Taken up, Not taken up / Declined / Pending)</p> <p>17. Reason/s (if declined): (Applicant specific: Low repayment capacity, Unacceptable credit record, Irregular income, Accepted security requirements not met, Required repayment period exceeds the period to retirement age, Nature of relationship between joint applicants not conducive to meeting repayment obligations, Other (specify) / Property specific: Unacceptable loan to value ratio, where applicable, Building does not comply with the requirements of the National Home Builders Registration Council under the Housing Consumer</p> | | | |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | Protection Measures Act, 1998 (Act No. 95 of 1998) or applicable municipal by-laws, Sectional title building with inadequate body corporate governance, Arrears on municipal service fees, surcharges on fees, property rates and other municipal taxes, levies and duties / Area specific: Boycott of rent, mortgage loans or service payments, The sheriff of the court is likely to be obstructed in carrying out statutory functions, Financial institutions are prevented from obtaining vacant occupation of a property in possession, The municipality is unable to enforce the collection of municipal service fees, surcharges on fees, property rates and other municipal taxes, levies and duties, The municipality is unable to enforce laws and by-laws against overcrowding or illegal land use, The market value of properties is either declining or appears likely to decline, Properties in possession cannot, or are unlikely to be sold for sufficient value to cover outstanding home loan balances or are unlikely to be let at a rate of return that is feasible, Other (specify) / Institution specific: Unacceptable exposure, Unacceptable collection method) Pending) | | | |
| Financial Markets Act 19 of 2012 | 30(2) | Record of uncertificated securities | A licensed central securities depository must administer and maintain a record of uncertificated securities deposited with it record of all securities deposited and must record all securities of the same kind deposited with it in an uncertificated securities register if so required by the depository rules. | | Central securities depository |
| Financial Markets Act 19 of 2012 | 32(2) | Record of all securities deposited | A participant must administer and maintain a with it in accordance with the depository rules and must record all securities of the same kind deposited with it in an uncertificated securities register if so required by the depository rules; | central securities depository | Participant |
| Financial Markets Act | 34 | Record of uncertificated securities | An issuer of uncertificated securities must record in its | | Issuer of uncertificated |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| 19 of 2012 | | | securities register the total number and, where applicable, the nominal value of each kind of uncertificated securities issued by it; maintain separate records for each central securities depository holding uncertificated securities unless all those securities are held by one central securities depository; if required by section 36(1), record the name of that central securities depository or its wholly owned subsidiary as the registered holder of the uncertificated securities. | | securities |
| Financial Markets Act 19 of 2012 | 90 | Accounting records and audit | A regulated person must- (a) maintain on a continual basis the accounting records determined in joint standards and prepare annual financial statements that conform with the financial reporting standards prescribed under the Companies Act and contain the information that may be determined in joint standards; (b) cause such accounting records and annual financial statements to be audited by an auditor appointed under section 89, within a period determined in joint standards or such later date as the Authority may allow on application by a regulated person; and(c) preserve such records, which may be in which may be in electronic form, in a safe place for a period of not less than five years as from the date of the last entry therein. | Auditor Power of Authority | Regulated person |
| Financial Sector Regulation Act 9 of 2017 | 107 | | To achieve the respective objectives of the financial sector regulators, standards referred to may be made on, among other things, recordkeeping. | | |
| Identification Act 68 of 1997 | 12(a) | Proof of the correctness of any particulars furnished to the Director General Home Affairs | The Director General may request any person to furnish him with proof of the correctness of any particulars which have been furnished in respect of such person in any document in terms of the Identification Act. | Director General Home Affairs | Any person |
| Identification Act 68 of 1997 | 20(1) | Uncancelled identity card of a person who has died. | Any person who has in his possession an uncancelled identity card of a person who has died, must within 30 days after the document came into his possession, hand over or send by registered post such document for cancellation to the Director | Director General Home Affairs | Any person who has in his possession an uncancelled identity card of a person who has died. |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | General. | | |
| Income Tax Act 58 of 1962 | 8(5)(bC) | Copy of the advise to the former lessee of the fair market value of the property referred to in section 8(5)(bA). | Any person who, as a former lessor of property referred to in paragraph (bA) or as the owner thereof, has after the termination of the lease of such property consented to the former lessee thereof using, enjoying or dealing with such property as contemplated in the said paragraph, or is deemed to have so consented under the provisions of paragraph (bB) (ii), shall not later than 14 days after the end of three months after the termination of the relevant lease advise the former lessee of the fair market value of such property as determined in accordance with paragraph (bA), and shall furnish the Commissioner with a copy of such advice. | Commissioner | Any person who, as a former lessor of property consisting of corporeal movable goods or of any machinery or plan in respect of which the lessor was entitled to any allowance under the provisions of the Income Tax Act or as the owner thereof, has after the termination of the lease of such property consented to the former lessee thereof using, enjoying or dealing with such property or is deemed to have so consented. |
| Income Tax Act 58 of 1962 | 12H(8) | Any information relating to the learnership agreement registered with that SETA, as required by the SETA. | In respect of each year of assessment during which an employer is eligible for any deduction contemplated in this section, the employer must submit to the SETA with which the learnership agreement is registered any information relating to that learnership agreement required by the SETA in the form and manner and at the place and time indicated by the SETA. | Sector education and training authority ("SETA") | Employer which means: 1. where only one employer is party to a registered learnership agreement, that employer; or 2. in the case where more than one employer is a party to a registered learnership agreement, the employer which is identified in that agreement as the lead employer. |
| Income Tax Act 58 of 1962 | 12I(11) | Information relating to the progress of the industrial policy project. | Within 12 months after the close of each year of assessment, starting with the year in which approval is granted in terms of subsection (8), a company carrying on an industrial policy project must report to | Adjudication committee as established by section 12I(16) | A company carrying on an industrial policy project |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | the adjudication committee with respect to the progress of the industrial policy project in terms of the requirements of subsections (7) and (8) in such form and in such manner as the Minister of Finance may prescribe. | | |
| Income Tax Act 58 of 1962 | 47K(b) | Any information relating to the founding, organising or facilitation of a specified activity in South Africa. | Any resident who is primarily responsible for founding, organising, or facilitating a specified activity in the Republic and who will be rewarded directly or indirectly for that function of founding, organising or facilitating must, in the manner and form prescribed by the Commissioner provide to the Commissioner such other details relating thereto as may be required by the Commissioner. | Commissioner of the South African Revenue Services | Any resident who is primarily responsible for founding, organising, or facilitating a specified activity in the Republic and who will be rewarded directly or indirectly for that function of founding, organising or facilitating |
| Income Tax Act 58 of 1962 | 64K(4)(b) | A declaration determining the amount of dividends tax withheld. | Where a person: 1. has, in terms of section 64G (3) or 64H (3), withheld dividends tax in accordance with a reduced rate in respect of the payment of any dividend; or 2. that is a company which was, in terms of section 64FA (2), liable for dividends tax at a reduced rate in respect of the declaration and payment of any dividend, that person must submit to the Commissioner any declaration— 2.1 submitted to the person by or on behalf of a beneficial owner; and 2.2 relied upon by the person in determining the amount of dividends tax so withheld, at the time and in the manner prescribed by the Commissioner. | Commissioner of the South African Revenue Services | A person: 1. that has, in terms of section 64G (3) or 64H (3) of the Income Tax Act, withheld dividends tax in accordance with a reduced rate in respect of the payment of any dividend; or 2. that is a company which was, in terms of section 64FA (2), liable for dividends tax at a reduced rate in respect of the declaration and payment of any dividend. |
| Income Tax Act 58 of 1962 | Schedule 4 section 14(1) | Employee records | In addition to the records required in accordance with Part A of Chapter 4 of the Tax Administration Act, every employer shall in respect of each employee maintain a record showing— (a) the amounts of remuneration paid or due by him or her to such employee; (b) the amount of employees' tax deducted or withheld from the amounts of remuneration contemplated in item (a); (c) the income tax reference number of that | Commissioner of the South African Revenue Services | Every employer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | employee where that employee is registered as a taxpayer in terms of section 67; and (d) such further information as the Commissioner may prescribe. | | |
| Income Tax Act 58 of 1962 | Schedule 8 | Any information or documents relating to the market value on valuation date | The Commissioner may, notwithstanding any proof of valuation submitted by a person to the Commissioner as contemplated in subparagraph (5) or (6): request any such further information or documents relating to that valuation. | Commissioner of the South African Revenue Services | A person who has disposed of an asset contemplated in subparagraph 29(5)(a), (b) or (c) which has been valued before proof of valuation is submitted or any other asset which has been valued |
| Income Tax Act 58 of 1962 | Notice 302 of 28 February 2003 | Copies of all documents and information relating to any scholarship, bursary or award and minutes of all meetings at which any scholarship, bursary or award is granted. | Copies of all documents and information relating to any scholarship, bursary or award and minutes of all meetings at which any scholarship, bursary or award is granted must be made available to the Commissioner on request. | Commissioner of the South African Revenue Services | Public benefit organisation wishing to bestow any scholarships, bursaries and awards for study, research and teaching. |
| Insolvency Act 24 of 1936 | 64(3) | Any book or document containing any information relating to the insolvent before the sequestration of his estate or which belonged to the insolvent estate or the spouse of the insolvent, which contains material information concerning the insolvent or his affairs or concerning any property belonging to the estate or concerning the business, affairs or property of the insolvent's spouse. | The said officer may also summon any person who is known or upon reasonable grounds believed to have in his possession or custody or under his control any book or document containing any such information as is mentioned in subsection (2), to produce that book or document, or an extract therefrom at any such meeting of creditors. | The officer who is to preside or who presides at any meeting of creditors in terms of the Insolvency Act. | Applicable to any person |
| Insolvency Act 24 of 1936 | 65(2) | Any cheque drawn by the insolvent or his or her spouse within one year before the sequestration of the insolvent's estate, or if any cheque so drawn is not available, then any record of the payment, date of payment and amount of that cheque which may be available to him, or a copy of such record and if called upon to do so, to give any other information available to him in connection with such cheque or the account of the insolvent or his or her spouse. | Provided that a banker at whose bank the insolvent in question or his or her spouse keeps or at any time kept an account, shall be obliged to produce, if summoned to do so under subsection (3) of section sixty-four, any cheque in his possession which was drawn by the insolvent or his or her spouse within one year before the sequestration of the insolvent's estate, or if any cheque so drawn is not available, then any record of the payment, date of payment and amount of that cheque which may be available to him, or a copy of such record and if called upon to do so, to give any | The officer who is to preside or who presides at any meeting of creditors in terms of the Insolvency Act. | Bank, Banker |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | other information available to him in connection with such cheque or the account of the insolvent or his or her spouse | | |
| Insurance Act 18 of 2017 | 45 | Annual disclosures | An insurer and a controlling company must annually, by no later than four months after its financial year end, publicly disclose the prescribed quantitative and qualitative information in full, or by way of prominent references to information equivalent in nature and scope disclosed publicly under any other law or legal obligation, in the form and manner as may be prescribed. | General public | Insurer and controlling company |
| Insurance Act 18 of 2017 | 46 | Financial statements | An insurer (other than a foreign branch of an insurer, Lloyd's underwriter or Lloyd's) and a controlling company must annually prepare, in respect of the relevant financial year of the insurer or controlling company, annual financial statements in accordance with the Companies Act and International Financial Reporting Standards issued by the International Accounting Standards Board or a successor body. The Prudential Authority may prescribe additional statements that must be included in the annual financial statements of an insurer or a controlling company after consultation with any relevant regulatory authority. | | Insurer and controlling company |
| Labour Relations Act 66 of 1995 | 13(5) | <ol style="list-style-type: none"> 1. A list of the names of every member from whose wages the employer has made the deductions that are included in the remittance; 2. Details of the amounts deducted and remitted and the period to which the deductions relate; and 3. A copy of every notice of revocation of authorisation of an employer to deduct subscriptions or levies payable to the trade union from the employees' wages. | <p>With each monthly remittance, the employer must give the representative trade union—</p> <ol style="list-style-type: none"> 1. a list of the names of every member from whose wages the employer has made the deductions that are included in the remittance; 2. details of the amounts deducted and remitted and the period to which the deductions relate; and 3. a copy of every notice of revocation in terms of subsection (3). | Representative Trade Union | Applicable to an employer. |
| Labour Relations Act 66 of 1995 | 16(2) | All relevant information that will allow the trade union representative to perform his functions effectively. | An employer must disclose to a trade union representative all relevant information that will allow the trade union representative to perform effectively the functions referred to in section 14 (4). | Trade Union Representative | Applicable to an employer. |
| Labour Relations Act | 21(10) | Any information and facilities that are | The employer must co-operate with the commissioner | Commissioner for the | Applicable to an |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| 66 of 1995 | | reasonably necessary to determine the membership or support of a registered trade union. | when the commissioner determines the membership or support of a registered trade union, and must make available to the commissioner any information and facilities that are reasonably necessary for the purposes of that subsection. | Conciliation Mediation and Arbitration ("CCMA") | employer. |
| Labour Relations Act 66 of 1995 | 87(2) | Employer's criteria, disciplinary codes and procedures, and rules for the work-place forum. | The employer must submit its criteria, disciplinary codes and procedures, and rules, referred to in subsection (1), if any, in writing to the work-place forum for its consideration. | Work-place forum | Applicable to the employer |
| Labour Relations Act 66 of 1995 | 89(1) | All relevant information that will allow the work-place forum to engage effectively in consultation and joint decision-making. | An employer must disclose to the work-place forum all relevant information that will allow the work-place forum to engage effectively in consultation and joint decision-making. | Work-place forum | Applicable to the employer |
| Labour Relations Act 66 of 1995 | 189(3) | Information relating to: 1. the reasons for the proposed dismissals; 2. the alternatives that the employer considered before proposing the dismissals, and the reasons for rejecting each of those alternatives; 3. the number of employees likely to be affected and the job categories in which they are employed; 4. the proposed method for selecting which employees to dismiss; 5. the time when, or the period during which, the dismissals are likely to take effect; 6. the severance pay proposed; 7. any assistance that the employer proposes to offer to the employees likely to be dismissed; 8. the possibility of the future re-employment of the employees who are dismissed; 9. the number of employees employed by the employer; and 10. the number of employees that the employer has dismissed for reasons based on its operational requirements in the preceding 12 months. | The employer must issue a written notice inviting the other consulting party to consult with it and disclose in writing all relevant information, including, but not limited to— 1. the reasons for the proposed dismissals; 2. the alternatives that the employer considered before proposing the dismissals, and the reasons for rejecting each of those alternatives; 3. the number of employees likely to be affected and the job categories in which they are employed; 4. the proposed method for selecting which employees to dismiss; 5. the time when, or the period during which, the dismissals are likely to take effect; 6. the severance pay proposed; 7. any assistance that the employer proposes to offer to the employees likely to be dismissed; 8. the possibility of the future re-employment of the employees who are dismissed; 9. the number of employees employed by the employer; and 10. the number of employees that the employer has dismissed for reasons based on its operational requirements in the preceding 12 months. | Other consulting party to the dismissal | Applicable to an employer who contemplates dismissing one or more employees for reasons based on the employer's operational requirements. |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Labour Relations Act 66 of 1995 | 197(6)(b) | All relevant information that will allow the employer to engage effectively in the negotiations to conclude a transfer of contract of employment agreement. | In any negotiations to conclude a transfer of contract of employment agreement, old employer, the new employer, or the old and new employers acting jointly, on the one hand, must disclose to the person or body contemplated in subparagraph (ii), all relevant information that will allow it to engage effectively in the negotiations. | <p>1. Any person whom the employer is required to consult in terms of a collective agreement;</p> <p>2. If there is no collective agreement that requires consultation—</p> <p>2.1, a workplace forum, if the employees likely to be affected by the proposed dismissals are employed in a workplace in respect of which there is a workplace forum; and</p> <p>2.2. any registered trade union whose members are likely to be affected by the proposed dismissals;</p> <p>3. If there is no workplace forum in the workplace in which the employees likely to be affected by the proposed dismissals are employed, any registered trade union whose members are likely to be affected by the proposed dismissals; or</p> <p>4. If there is no such trade union, the employees likely to be affected by the proposed dismissals or</p> | Applicable to an old employer, the new employer, or the old and new employers acting jointly, wishing to transfer a contract of employment. |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | | their representatives nominated for that purpose. | |
| Labour Relations Act 66 of 1995 | 197(7)(c) | The terms of the agreement that specifies: 1. which employer is liable for paying any amount, and in the case of the apportionment of liability between them, the terms of that apportionment; and 2. what provision has been made for any payment if any employee becomes entitled to receive a payment. | The old employer must disclose the terms of the agreement contemplated in paragraph (b) to each employee who after the transfer becomes employed by the new employer. | Employees who will after the transfer become employed by the new employer. | Applicable to and old employer, that has transferred a contract of employment to a new employer. |
| Labour Relations Act 66 of 1995 | 197B | Application for winding up | An employer that is facing financial difficulties that may reasonably result in the winding-up or sequestration of the employer, must advise a consulting party contemplated in section 189 (a) An employer that applies to be wound up or sequestrated, whether in terms of the Insolvency Act, 1936, or any other law, must at the time of making application, provide a consulting party contemplated in section 189(1) with a copy of the application (b) An employer that receives an application for its winding-up or sequestration must supply a copy of the application to any consulting party contemplated in section 189(1), within two days of receipt, or if the proceedings are urgent, within 12 hours. | Trade Union Workplace Forum Employee | |
| Labour Relations Act 66 of 1995 | 205(2)(b) | 1. Collective agreement; 2. Arbitration award; 3. Determination made in terms of the Wage Act. | An employer who is required to keep records in terms of subsection (1) must submit those records in their original form or a reproduced form in response to a demand made at any reasonable time, to any agent of a bargaining council, commissioner or any person whose functions in terms of this Act include the resolution of disputes. | Any agent of a bargaining council, commissioner of the CCMA or any person whose functions in terms of the Labour Relations Act include the resolution of disputes. | Applicable to an employer |
| Labour Relations Act 66 of 1995 | Notice 1442 of 10 October 2003 section 2 | 1. A copy of the proof of mailing the referral, objection or other document by registered post to the other party; 2. A copy of the telegram, telex or telefax communicating the referral, objection or other document to the other party; | Whenever a party is required to satisfy the Registrar that a copy of a referral, objection or other document has been served on another party, the party so required must provide the Registrar with— 1. a copy of the proof of mailing the referral, objection or other document by registered post to the | Registrar in terms of the Labour Relations Act. | Parties to a dispute before the CCMA |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | <p>3. A copy of a receipt signed by the other party or on that party's behalf if the copy of the referral, objection or other document was delivered by hand; or</p> <p>4. A statement confirming service signed by the person who delivered a copy of the referral, objection or other document to the other party.</p> | <p>other party;</p> <p>2. a copy of the telegram, telex or telefax communicating the referral, objection or other document to the other party;</p> <p>3. a copy of a receipt signed by the other party or on that party's behalf if the copy of the referral, objection or other document was delivered by hand; or</p> <p>4. a statement confirming service signed by the person who delivered a copy of the referral, objection or other document to the other party.</p> | | |
| Labour Relations Act 66 of 1995 | Notice 1517 of 16 July 1999 section 4 | Considerations other than those that are listed in section 189(3) which are relevant to the proposed dismissal based on operational requirements or the development of alternative proposals | The Act also provides for the disclosure by the employer of information on matters relevant to the consultation. Although the matters on which information for the purposes of consultation is required are specified in section 189 (3), the list in that section is not a closed one. If considerations other than those that are listed are relevant to the proposed dismissal or the development of alternative proposals, they should be disclosed to the consulting party. In the event of a disagreement about what information is to be disclosed any party may refer the dispute to the CCMA in terms of section 16 (6) of the Act | Employer dismissed being | Applicable to an employer who dismisses an employee based on operational requirements |
| Legal Practice Act 28 of 2014 | 87 | Accounting records | A trust account practice must keep proper accounting records containing particulars and information in respect of money received and paid on its own account; any money received, held or paid on account of any person; money invested in a trust account or other interest-bearing account referred to in section 86; and any interest on money so invested which is paid over or credited to it. | South African Legal Practice Council or Legal Practitioners' Fidelity Fund Board itself or through its nominee | Trust account practice |
| Long-Term Insurance Act | 36(1) | Returns relating to the business of a Long-Term Insurer containing the information prescribed by the Financial Services Conduct Authority. | Furnish the Financial Services Conduct Authority with returns relating to its business: in the medium and form; containing the information; and by the date or within the period, determined by the Authority by notice on the official website, either generally or in relation to a particular insurer. | Financial Services Conduct Authority | Long-term insurer |
| Long-Term Insurance Act | 36(2) | Specified information or documents as requested by the Financial Services Conduct Authority to complete or correct a return furnished to the Authority | If the Authority is satisfied that a return furnished to it in terms of subsection 36(1) is incomplete or incorrect, it may by notice furnish the Authority, within a specified period, with specified information or documents which he considers necessary to complete or correct the return | Financial Services Conduct Authority | Long-term insurer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | or reject the return and require the long-term insurer to furnish the Authority , within a specified period, with a new return which is complete and correct. | | |
| Long-Term Insurance Act | 36(3) | Information requested by the Financial Services Conduct Authority relating to the returns relating to the business of the Insurer. | Furnish the Financial Services Conduct Authority with a report containing the required information, compiled by a person nominated by the Authority at the cost of the long-term insurer. | Financial Services Conduct Authority | Long-term insurer |
| Long-Term Insurance Act | 49(6) | Written agreement allowing another person do any one or more of the following on behalf of threat insurer (binder agreements): (a) enter into, vary or renew a long-term policy, other than a long-term reinsurance policy, on behalf of that insurer; (b) determine the wording of a long-term policy; (c) determine premiums under a long-term policy; (d) determine the value of policy benefits under a long-term policy; (e) settle claims under a long-term policy. | Any party to a binder agreement must make a copy of that agreement available to the Financial Services Conduct Authority on request. | Financial Services Conduct Authority | Long-term insurer |
| Long-Term Insurance Act | Notice 1492 of 27 November 1998 section 5.8(4) | Record of any amendment made from 30 June 2005 to the day before the effective date to the actuarial basis of a policy issued by that insurer before the effective date, where that amendment will have the effect of reducing the values or benefits of threat policy. | An insurer must keep a record of amendments which record must be made available to the Financial Services Conduct Authority on request. | Financial Services Conduct Authority | Long-term insurer |
| Long-Term Insurance Act | Notice 1492 of 27 November 1998 section 5.13(1)(a) | 1. A summary of the content of the provisions of Part 5B of Notice 1492 to the extent that those provisions may be or may become applicable to the policy; 2. an explanation of what constitutes a causal event in respect of the policy in question; 3. a statement, expressed as a percentage and, where a Rand value amount is determinable, also as a Rand value amount, of the maximum causal event charges that may be deducted, and 4. the administration charge that may be | An insurer must ensure that when an investment policy is applied for, the prospective policyholder or member is within 30 days from the date of application provided in writing with the information referred to in sub-regulation (2). | Prospective policy holder or member | Long-term insurer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | deducted when a causal event occurs. | | | |
| Long-Term Insurance Act | Notice 1492 of 27 November 1998 section 5.13(1)(b) | A summary containing (a) a summary of the content of the provisions of Part 5B of Notice 1492 to the extent that those provisions may be or may become applicable to the policy; (b) an explanation of what constitutes a causal event in respect of the policy in question; (c) a statement, expressed as a percentage and, where a Rand value amount is determinable, also as a Rand value amount, of the maximum causal event charges that may be deducted; and (d) the administration charge that may be deducted when a causal event occurs. | An insurer must ensure that the summary to be provided to the policyholder or member in accordance with section 48 of the Act contains the information referred to in sub-regulation (2). | Prospective policyholder or member | Long-term insurer |
| Long-Term Insurance Act | Notice 1492 of 27 November 1998 section 6.4(5) | Information regarding any fee that may be offered or provided to a binder holder, and any participation by a binder holder in profits attributable to the policies referred to in a binder agreement, payable to a non-mandated intermediary that is a binder holder. | Any fee that may be offered or provided to a binder holder, and any participation by a binder holder in profits attributable to the policies referred to in a binder agreement, payable to a non-mandated intermediary that is a binder holder, must be disclosed to a policyholder. | Policyholder | Long-term insurer |
| Long-Term Insurance Act | Notice 6 of 2002 section 5.4.1 | Audited financial statements; and an audit report setting forth whether any assets held on behalf of any other person in safe custody, are in possession of the nominee and properly accounted for, within six months of the financial year- end of the company. | The approved nominee company must submit annually: (a) its audited financial statements; and (b) an audit report setting forth whether any assets held on behalf of any other person in safe custody, are in possession of the nominee and properly accounted for, within six months of the financial year-end of the company to the FSB. | Financial Services Board | Long-term insurer |
| Long-Term Insurance Act | Notice 6 of 2002 section 5.4.2 | A declaration by the holding company of the nominee company in the format as specified in clause 10 must accompany the annual financial statements of the nominee company. | The approved nominee company must submit annually: A declaration by the holding company of the nominee company in the format as specified in clause 10 must accompany the annual financial statements of the nominee company. | Financial Services Conduct Authority | Long-term insurer |
| Long-Term Insurance Act | Notice 1129 of 2004 section 4.2(a) | Disclosure records and documentation pertaining thereto relating to a direct marketer. | Disclosure records and documentation pertaining thereto must be available timeously upon request to the Financial Services Conduct Authority for inspection, and copies thereof must at the request of a | Financial Services Conduct Authority Insurance and the policyholder | Direct marketer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | policyholder be furnished to such holder. | | |
| Long-Term Insurance Act | Notice 1129 of 30 September 2004 section 5.1 | Intermediary agreement | Furnish the intermediary with a written copy of the agreement setting out the terms and conditions thereof. | Intermediary | Long-term insurer |
| Long-Term Insurance Act | Notice 1129 of 30 September 2004 section 5.2 | Information reasonably required by an intermediary to comply with any disclosure or other requirements binding on such person by virtue of any law. | An insurer must provide any person with whom an agreement contemplated in Rule 5.1 has been entered into, with all information reasonably required by such person to comply with any disclosure or other requirements binding on such person by virtue of any law. | Intermediary | Long-term insurer |
| Long-Term Insurance Act | Notice 1129 of 30 September 2004 section 13 | 1. the names of the policyholders and their identity numbers; 2. number of policyholders on the scheme by type and amount of cover; 3. aggregate amount of premium; 4. claims history of the scheme (for the past three years if available); 5. copy of the master policy; 6. other information required by the new insurer. | The insurer must provide the following information to the new insurer as soon as possible but not longer than 30 days after receipt of the confirmation by the scheme or administrator: (a) the information referred to in Rule 10 (d); (b) number of policyholders on the scheme by type and amount of cover; (c) aggregate amount of premium; (d) claims history of the scheme (for the past three years if available); (e) copy of the master policy; (f) other information required by the new insurer. | New insurer | Long-term insurer |
| Long-Term Insurance Act | Notice 1129 of 30 September 2004 section 16.1(c) | 1. Reasons for the rejection of the claim; 2. That the policyholder may within a period of not less than 90 days after the date of receipt of the notice make representations to the relevant insurer in respect of the decision; 3. Right to lodge a complaint under the Financial Services Ombud Schemes Act, 2004 and the relevant provisions of the Act relating to the lodging of such a complaint, in plain understandable language; 4. In the event that the relevant policy contains a time limitation provision for the institution of legal action, of that provision and the implications of that provision for the policyholder in an easily understood manner; and 5. In the event that the relevant policy does | If the insurer rejects or disputes the quantum of a claim, the insurer must notify the policyholder: (i) of the reasons for the decision; (ii) that the policyholder may within a period of not less than 90 days after the date of receipt of the notice make representations to the relevant insurer in respect of the decision; (iii) of the right to lodge a complaint under the Financial Services Ombud Schemes Act, 2004 and the relevant provisions of the Act relating to the lodging of such a complaint, in plain understandable language; (iv) in the event that the relevant policy contains a time limitation provision for the institution of legal action, of that provision and the implications of that provision for the policyholder in an easily understood manner; and (v) in the event that the relevant policy does not contain at time limitation provision for the institution of legal | Policyholder | Long-term insurer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | not contain a time limitation provision for the institution of legal action, of the prescription period that will apply in terms of the Prescription Act, 1969 and the implications of that provision for the policyholder in an easily understood manner | action, of the prescription period that will apply in terms of the Prescription Act, 1969 and the implications of that provision for the policyholder in an easily understood manner. | | |
| Long-Term Insurance Act | Notice 1129 of 30 September 2004 section 16.1(d) | <p>1. Reasons for the rejection of the claim;</p> <p>2. That the policyholder may within a period of not less than 90 days after the date of receipt of the notice make representations to the relevant insurer in respect of the decision;</p> <p>3. Right to lodge a complaint under the Financial Services Ombud Schemes Act, 2004 and the relevant provisions of the Act relating to the lodging of such a complaint, in plain understandable language;</p> <p>4. In the event that the relevant policy contains a time limitation provision for the institution of legal action, of that provision and the implications of that provision for the policyholder in an easily understood manner; and</p> <p>5. In the event that the relevant policy does not contain a time limitation provision for the institution of legal action, of the prescription period that will apply in terms of the Prescription Act, 1969 and the implications of that provision for the policyholder in an easily understood manner;</p> <p>6. The name and contact details of the insurer and a statement that any recourse or enquiries must be directed directly to that insurer.</p> | If a claim is rejected or a quantum is disputed as contemplated in paragraph (a) on behalf of an insurer by a person other than the insurer, such other person must provide the notice contemplated in paragraph (b) and include in that notice, in addition to the information referred to in paragraph (c), the name and contact details of the insurer and a statement that any recourse or enquiries must be directed directly to that insurer. | Policyholder | Long-term insurer |
| Long-Term Insurance Act | Notice 1129 of 30 September 2007 section 16.1(f) | <p>Notification:</p> <p>1. informing the policyholder of the reasons for the decision;</p> <p>2. includes the facts that informed the decision; and</p> <p>Right to lodge a complaint under the Financial</p> | <p>The notice to the policyholder confirming the rejection of the claim or the dispute of the quantum of the claim must include:</p> <p>(i) inform the policyholder of the reasons for the decision;</p> <p>(ii) include the facts that informed the decision; and</p> <p>include the information referred to in paragraph (c) (iii)</p> | Policyholder | Long-term insurer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | <p>Services Ombud Schemes Act, 2004 and the relevant provisions of the Act relating to the lodging of such a complaint, in plain understandable language;</p> <p>3. In the event that the relevant policy contains a time limitation provision for the institution of legal action, of that provision and the implications of that provision for the policyholder in an easily understood manner; and</p> <p>4. In the event that the relevant policy does not contain a time limitation provision for the institution of legal action, of the prescription period that will apply in terms of the Prescription Act, 1969 and the implications of that provision for the policyholder in an easily understood manner.</p> | to (v). | | |
| Long-Term Insurance Act | Notice 81 of 5 September 2008 (a) | An audited return relating to the long-term insurer's business within 4 months after the expiration of each financial year with an audited return. (this includes the annual statutory return and the quarterly return) | Every long-term insurer must furnish the Financial Services Conduct Authority within a period of four months after the expiration of each financial year with an audited return relating to its business. | Financial Services Conduct Authority | Long-term insurer |
| Long-Term Insurance Act | Notice 81 of 5 September 2008 (b) | A return relating to the long-term insurer's business within 1 month after the expiration of each quarter of its financial year. (this includes the annual statutory return and the quarterly return) | Every long-term insurer must furnish the Financial Services Conduct Authority within a period of one month after the expiration of each quarter of its financial year with a return relating to its business. | Financial Services Conduct Authority | Long-term insurer |
| Long-Term Insurance Act | Notice 81 of 5 September 2008 (c) | Copy of the financial statements as defined in section 1(1) of the Companies Act, 1973 within 6 months of the expiration of each financial year. | Every long-term insurer must furnish the Financial Services Conduct Authority within a period of six months of the expiration of each financial year, with a copy of its financial statements as defined in section 1 (1) of the Companies Act, 1973 (Act No. 61 of 1973). | Financial Services Conduct Authority | Long-term insurer |
| Long-Term Insurance Act | Directive 135 2.2 | Information concerning any matter regarding any replacement of a policy in terms of section 37(2) of the Act. (Section 37(2): Any arrangement entered into between two or more insurers whereby a liability of any long-term insurer towards policyholders is to be substituted for a liability of any other insurer towards such | The Financial Services Conduct Authority may at any time require from insurers to furnish the Financial Services Conduct Authority with information concerning any matter regarding any replacement of such a policy. | Financial Services Conduct Authority Term Insurance | Long-term insurer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | policyholders shall be deemed for the purposes of this section to be a scheme for the transfer of the insurance business concerned, unless the Financial Services Conduct Authority is satisfied that the said policyholders have been or will be made aware of the nature of such substitution and have signified or will signify their consent thereto in writing.) | | | |
| National Credit Act 34 of 2005 (NCA) | 48A(3) | Records to show effectiveness of prescribed code. | The National Credit Regulator— (a) must monitor the effectiveness of any code of conduct issued in terms of this Act; and (b) may reasonably require persons conducting business within the relevant industry to provide information necessary for the purposes of (i) monitoring in terms of paragraph (a); or (ii) reviewing the effectiveness of a prescribed code of conduct relative to the purposes of the NCA. | National Credit Regulator | Credit provider under the NCA |
| National Credit Act 34 of 2005 (NCA) | 62(1) | | On request from a consumer, a credit provider must advise that consumer in writing of the dominant reason for— (a) refusing to enter into a credit agreement with that consumer; (b) offering that consumer a lower credit limit under a credit facility than applied for by the consumer, or reducing the credit limit under an existing credit facility; (c) refusing a request from the consumer to increase a credit limit under an existing credit facility; or (d) refusing to renew an expiring credit card or similar renewable credit facility with that consumer. | Consumer | Credit provider under the NCA |
| National Credit Act 34 of 2005 | 53(4) | Registration certificate of persons registered in terms of the National Credit Act. | Any person may inspect a copy of a registration certificate issued in terms of this Act; and obtain a copy of it, upon payment of the prescribed fee. | Any person | A registrant in terms of the NCA |
| National Credit Act 34 of 2005 | 71A(1) | Information regarding settlement | The credit provider must submit to all registered credit bureaux within seven days after settlement by a consumer of any obligation under any credit agreement, information regarding such settlement where an obligation under such credit agreement was the subject of (a) an adverse classification of consumer behaviour; (b) an adverse classification enforcement action | Credit bureau | Credit provider under the NCA |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | against a consumer; (c) an adverse listing recorded in the payment profile of the consumer; or (d) a judgement debt. | | |
| National Credit Act 34 of 2005 | 72 | Adverse information | Every person has the right to be advised by a credit provider within the prescribed time before any prescribed adverse information concerning the person is reported by it to a credit bureau, and to receive a copy of that information upon request; | Every person | Credit provider under the NCA |
| National Credit Act 34 of 2005 | 93(1) | A copy of a document that records the credit agreement between the consumer and the credit provider | The credit provider must deliver to the consumer, without charge, a copy of a document that records their credit agreement, transmitted to the consumer in a paper form, or in a printable electronic form | Consumer | Credit provider under the NCA |
| National Credit Act 34 of 2005 | 108(1) | Statement of account | A credit provider must offer to deliver to each consumer periodic statements of account in accordance with this section. | Consumer | Credit provider under the NCA |
| National Credit Act 34 of 2005 | 110(1) | A statement of the following information: 1. the current balance of the consumer's account; 2. any amounts credited or debited during a period specified in the request; 3. any amounts currently overdue and when each such amount became due; and 4. any amount currently payable and the date it became due. | At the request of a consumer, a credit provider must deliver without charge to the consumer a statement of all or any of the following: 1. the current balance of the consumer's account; 2. any amounts credited or debited during a period specified in the request; 3. any amounts currently overdue and when each such amount became due; and 4. any amount currently payable and the date it became due. | Consumer | Credit provider under the NCA |
| National Credit Act 34 of 2005 | 113(1) | Statement of settlement amount | At the request of a consumer or guarantor, a credit provider must deliver without charge to the consumer a statement of the amount required to settle a credit agreement, as calculated in accordance with section 125, as of a date specified in the request. | Consumer or guarantor | Credit provider under the NCA |
| National Credit Act 34 of 2005 | 118(1) | Confirmation of: 1. the new credit limit, which must not exceed the maximum limit stipulated by the consumer, if any; and 2. the date on which the new credit limit is to take effect. | After receiving a notice in terms of subsection (1), the credit provider must give the consumer written confirmation of: 1. the new credit limit, which must not exceed the maximum limit stipulated by the consumer, if any; and 2. the date on which the new credit limit is to take effect, which may not be more than 30 business | Consumer who has applied for a reduction to the credit limit under a credit facility | Credit provider |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | days after the date of the notice from the consumer. | | |
| National Credit Act 34 of 2005 | 154(1)(d) and (e) | <p>1. Any document on the premises that is being searched that has a bearing on the investigation.</p> <p>2. Information about any article or document from the owner of, or person in control of, the premises or from any person who has control of the article or document, or from any other person who may have the information.</p> | <p>A person who is authorised under section 153 to enter and search premises may—</p> <p>1. examine any article or document on or in those premises that has a bearing on the investigation;</p> <p>2. request information about any article or document from the owner of, or person in control of, the premises or from any person who has control of the article or document, or from any other person who may have the information;</p> | A person who is authorised under section 153 to enter and search the premises | Any person |
| National Credit Act 34 of 2005 | Notice 489 of 31 May 2006 section 62(1) | <p>1. Compliance Report</p> <p>2. Statistical Returns</p> <p>3. Annual Financial and Operational Return</p> <p>4. Assurance Report</p> | <p>A credit provider must submit the following to the National Credit Regulator—</p> <p>1. Compliance Report</p> <p>2. Statistical Returns</p> <p>3. Annual Financial and Operational Return</p> <p>4. Assurance Report</p> | National Credit Regulator | Credit provider |
| National Credit Act 34 of 2005 | Notice 489 of 31 May 2006 section 62(4) | <p>An analysis of any item contained in the following forms:</p> <p>1. Compliance Report</p> <p>2. Statistical Returns</p> <p>3. Annual Financial and Operational Return</p> <p>4. Assurance Report</p> | If requested by the National Credit Regulator, an analysis of any item contained in the forms prescribed in these regulations must be furnished to the National Credit Regulator within 20 business days after such request. | National Credit Regulator | Credit provider |
| National Credit Act 34 of 2005 | Notice 489 of 31 May 2006 section 65 | Annual financial statements including the auditor or accounting officer's report. | A credit provider must submit its annual financial statements including the auditor or accounting officer's report to the National Credit Regulator, within 6 months after the credit provider's financial year-end. | National Credit Regulator | Credit provider |
| National Regulator for Compulsory Specifications Act 5 of 2008 | 17(1)(c) | <p>Records with regard to the import, manufacture or sale of the following are kept:</p> <p>1. an article in respect of which a compulsory specification is:</p> <p>(a) manufactured or sold; stored or used in the course of any business; or stored for any purpose in connection with the import or export of the commodity or product;</p> | An Inspector may at any reasonable time and without prior notice enter any premises, other than a private dwelling, in or upon which any records with regard to | Inspector appointed in terms of the National Regulator for | Any person |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | (b) any manufacture, sale, use or storage reasonably suspected. | | | |
| 2008 | | 1. an article in respect of which a compulsory specification is: manufactured or sold; stored or used in the course of any business; or stored for any purpose in connection with the import or export of the commodity or product; 2. any manufacture, sale, use or storage reasonably suspected. | the import, manufacture or sale of an article referred to in paragraph (a) or (b) are kept. [(a) an article in respect of which there is a compulsory specification is: (i) manufactured or sold; (ii) stored or used in the course of any business; or (iii) stored for any purpose in connection with the import or export of the commodity or product; (b) any manufacture, sale, use or storage is reasonably suspected;] | Compulsory Specifications Act. | |
| National Regulator for Compulsory Specifications Act 5 of 2008 | 19(1)(d) and (e) | Any book, notice, record, list or other document in respect of which a compulsory specification is: manufactured or sold; stored or used in the course of any business; or stored for any purpose in connection with the import or export of the commodity or product; or any manufacture, sale, use or storage reasonably suspected. | In order to monitor and enforce compliance with this Act, an inspector may: 1. demand from any person that he produce to him any book, notice, record, list or other document which is in the possession or custody or under the control of that person or any other person on his or her behalf; 2. examine the book, notice, record, list or other document and make copies thereof or extracts therefrom or request that they be made, if it relates to an article referred to in section 17(1) (a) or (b). | Inspector appointed in terms of the National Regulator for Compulsory Specifications Act. | Any person |
| National Regulator for Compulsory Specifications Act 5 of 2008 | 19(1)(h) | Any relevant document of a manufacturer or importer of a commodity, or product or the supplier of a service in respect of which a compulsory specification is in force. | In order to monitor and enforce compliance with this Act, an inspector may examine any relevant document of a manufacturer or importer of a commodity, or product or the supplier of a service in respect of which a compulsory specification is in force, to determine whether that manufacturer or importer has paid the prescribed fees. | Inspector appointed in terms of the National Regulator for Compulsory Specifications Act. | Any person |
| National Regulator for Compulsory Specifications Act 5 of 2008 | 20(1) | information specified with regard to the article concerned or its manufacture or the service supplied to which a compulsory specification applies. | Any person who imports, sells or supplies any commodity or product or supplies any service for which a compulsory specification is in force, must furnish to the National Regulator such information as may be specified with regard to the article concerned or its manufacture or the service supplied. | National Regulator for Compulsory Specifications | Any person who imports, sells or supplies any commodity or product or supplies any service for which a compulsory specification is in force, |
| National Regulator for Compulsory Specifications Act 5 of 2008 | Notice 924 of 15 October 2010 section 8(1) | Evidence of conformity of a commodity, product or service covered by a compulsory specification. | A manufacturer, builder, importer or any person who offers for sale a commodity or product, or provides a service, covered by a compulsory specification, must on the written request of the National Regulator, or as specifically defined in the compulsory specification, | National Regulator for Compulsory Specifications | A manufacturer, builder, importer or any person who offers for sale a |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | submit evidence of conformity of such commodity, product or service to the National Regulator . | | commodity or product, or provides a service, covered by a compulsory specification |
| National Regulator for Compulsory Specifications Act 5 of 2008 | Notice 924 of 15 October 2010 section 11(1)(b) | Record of any commodity or product manufactured, built or imported by for which a compulsory specification applies, to determine the commodity or product, and the quantities manufactured, built or imported, and to where they were subsequently sold. | A levy payer must keep an accurate record of any commodity or product manufactured, built or imported by such person, for which a compulsory specification applies, in such a manner that the precise type of that commodity or product, and the quantities manufactured, built or imported, and to where they were subsequently sold, can be determined at any time. The records must be made readily available to the National Regulator on request. | National Regulator for Compulsory Specifications | Levy payer (levy payer shall include a natural or juristic person being a manufacturer, builder or importer of commodities or products, or the provider of services, covered by a compulsory specification) |
| National Regulator for Compulsory Specifications Act 5 of 2008 | Notice 924 of 15 October 2010 section 11(2)(b) | Records of specific commodities or products sold under a sales permit, that provide suitable evidence detailing how they are marked for traceability, and precisely who they were sold to. | Manufacturers, builders or importers must keep additional separate records of specific commodities or products sold under a sales permit, that provide suitable evidence detailing how they are marked for traceability, and precisely who they were sold to. The records must be maintained and be made readily available to the National Regulator on request . | National Regulator for Compulsory Specifications | Manufacturers, builders or importers of commodities or products sold under a sales permit |
| National Regulator for Compulsory Specifications Act 5 of 2008 | Notice 924 of 15 October 2010 section 11(4)(b) | Registration certificate in terms of the National Regulator for Compulsory Specifications. | The registration certificate issued by the National Regulator must be kept on record by the relevant certificate holder for as long as such holder is in the business of manufacturing, building or importing of any commodity or products, or providing a service, subject to a compulsory specification. The certificate must be made readily available to an inspector on request. | Inspector appointed in terms of the National Regulator for Compulsory Specifications Act. | Holder of a registration certificate in terms of the National Regulator for Compulsory Specifications Act. |
| Pension Funds Act 24 of 1956 | 2(3) | A Statistical information as may be requested by the Financial Services Conduct Authority. | A pension fund contemplated in subsection (2) or (2A) must, pending registration in terms of this Act, furnish the Financial Services Conduct Authority with such statistical information as may be requested by the Financial Services Conduct Authority. | Financial Services Conduct Authority | Registered Pension Fund |
| Pension Funds Act 24 of 1956 | 6(3) | Any information relating to the business or any part of the business which is or has been carried on by an undertaking, | The Financial Services Conduct Authority may for the purpose of preparing any proposals under | Financial Services Conduct Authority | Any person having control of the undertaking in question |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | including the business of such pension fund, together with such reports by a valuator or by the auditor of that undertaking. | subsection (2), require any person having control of the undertaking in question, to lodge with it, within such period as he may specify, any information relating to the business or any part of the business which is or has been carried on by that undertaking, including the business of such pension fund, together with such reports by a valuator or (at the discretion of the Financial Services Conduct Authority) by the auditor of that undertaking, as the Financial Services Conduct Authority may direct. | | |
| Pension Funds Act 24 of 1956 | 12(2) | Resolution whereby a rule of the Pension Fund has been passed, altered or rescinded. | Within 60 days from the date of the passing of a resolution adopting the alteration or rescission of any rule or for the adoption of any additional rule, a copy of such resolution shall be transmitted by the principal officer to the registrar, together with the particulars prescribed. together with the particulars prescribed. | Financial Services Conduct Authority | Principal officer of the Pension Fund |
| Pension Funds Act 24 of 1956 | 15(2) | <ol style="list-style-type: none"> 1. A copy of any special report by the auditor relating to any of the activities of the Pension Fund during the financial year to which such documents relate; 2. A copy of any annual report that the fund may have issued to its members or shareholders in respect of the said financial year; and 3. A copy of any other statement that the fund may have presented to its members or shareholders in respect of any of its activities during such financial year. | <p>Every registered fund must, when furnishing to the Financial Services Conduct Authority the documents referred to in subsection (1), also furnish to the Financial Services Conduct Authority with:</p> <ol style="list-style-type: none"> 1. a copy of any special report by the auditor relating to any of the activities of the fund during the financial year to which such documents relate; 2. a copy of any annual report that the fund may have issued to its members or shareholders in respect of the said financial year; and 3. a copy of any other statement that the fund may have presented to its members or shareholders in respect of any of its activities during such financial year. | Financial Services Conduct Authority | Registered Pension Fund |
| Pension Funds Act 24 of 1956 | 15K(9)(a) | Any book, document, record or thing which has any bearing on the subject matter of the investigation of the Tribunal. | The tribunal may under the hand of the chairperson, summon any person who in the opinion of the tribunal may be able to give material information concerning the subject matter of the investigation or who is believed by the tribunal to have in his or her possession or custody or under his or her control any book, document, record or thing which has any bearing on the subject matter of the investigation, to appear before it at a time and place specified in the | Special ad hoc tribunal appointed in terms of section 15K when the board of a pension fund fails to submit a scheme of the appointment of an actuarial surplus within the prescribed | Any person who in the opinion of the tribunal may be able to give material information concerning the subject matter of the investigation or who is believed by the tribunal to have in his or her |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | summons, to be questioned or to produce that book, document, record or thing, and may retain for inspection any book, document, record or thing so produced; and | period. | possession or custody or under his or her control any book, document, record or thing which has any bearing on the subject matter of the investigation. |
| Pension Funds Act 24 of 1956 | 16(1) | Report of the pension fund's financial condition prepared by a valuator | A registered fund shall, once at least in every three years, cause its financial condition to be investigated and reported upon by a valuator, and shall deposit a copy of such a report with the registrar, and shall send a copy of such report or a summary thereof, prepared by the valuator in a form prescribed and signed by the valuator, to every employer participating in the fund. | Financial Services Conduct Authority | Registered Pension Fund |
| Pension Funds Act 24 of 1956 | 16(8) | A certificate by the board of the pension fund and by the principal officer that the information furnished to the valuator for the purposes of the report on the pension fund's financial condition was correct and complete in every material respect. | Whenever a registered fund deposits with the Financial Services Conduct Authority a copy of a report made by a valuator in terms of this section, it shall also deposit with the Financial Services Conduct Authority a certificate by the board and by the principal officer that to the best of their knowledge and belief the information furnished to the valuator for the purposes of the report was correct and complete in every material respect and, where applicable, that a copy of the report or a summary thereof referred to in subsection (1) was sent to every employer participating in the fund. | Financial Services Conduct Authority | Registered Pension Fund |
| Pension Funds Act 24 of 1956 | 21(1) | Any additional information as the Financial Services Conduct Authority may deem necessary relating to the application for registration of a fund or of an alteration or rescission of rules or of an additional rule or any return or scheme relating to the financial condition of a fund. | If the Financial Services Conduct Authority is of opinion that any application for registration of a fund or of an alteration or rescission of rules or of an additional rule; or any return or scheme relating to the financial condition of a fund, does not disclose sufficient information to enable him to make the necessary decision, the person concerned shall furnish such additional particulars as the Financial Services Conduct Authority may deem necessary. | Financial Services Conduct Authority | Applicant for the registration of pension fund or of an alteration or rescission of rules or of an additional rule; or any return or scheme relating to the financial condition of a fund, who does not disclose sufficient information to enable him to make the necessary decision. |
| Pension Funds Act 24 of 1956 | 32(1) | Rules of the pension fund, together with a copy of the last annual accounts | The Financial Services Conduct Authority may by notice in writing require any person whom he has | Financial Services Conduct Authority | Any person whom the |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | recorded by such person, and such further information as the Financial Services Conduct Authority may require. | reason to suspect is carrying on the business of a pension fund which is not registered under this Act, to transmit to him, within a period stated in such notice, a copy of the rules, if any, under which such person is operating, together with a copy of the last annual accounts recorded by such person, and such further information as the Financial Services Conduct Authority may require. | | Financial Services Conduct Authority has reason to suspect is carrying on the business of a pension fund which is not registered under the Pension Funds Act. |
| Pension Funds Act 24 of 1956 | 35(1) | 1. The rules of the Pension Fund; 2. The last revenue account and the last balance sheet regarding its expenditure and financial position. | Every registered fund shall deliver to any member on demand by such member, and on payment of such sum as may be determined by the rules of the fund, a copy of any of the following documents, that is to say 1. the rules of the fund; 2. the last revenue account and the last balance sheet prepared in terms of subsection (1) of section fifteen. | Member of the pension fund | Registered Pension Fund |
| Pension Funds Act 24 of 1956 | 35(2) | 1. The rules of the Pension Fund; 2. The last revenue account and the last balance sheet regarding its expenditure and financial position. 3. the last report (if any) by a valuator prepared in terms of section 16; 3. the last statement (if any) and report thereon prepared in terms of section seventeen; 4. any scheme which is being carried out by the fund in accordance with the provisions of section eighteen. | Any member shall be entitled to inspect without charge at the registered office of a registered fund, a copy of any of the following documents and make extracts therefrom, that is to say— 1. the documents referred to in subsection (1); 2. the last report (if any) by a valuator prepared in terms of section sixteen; 3. the last statement (if any) and report thereon prepared in terms of section seventeen; 4. any scheme which is being carried out by the fund in accordance with the provisions of section eighteen. | Member of the pension fund | Registered Pension Fund |
| Pension Funds Act 24 of 1956 | Notice 208 of 28 December 2011 section 22.5 | Records of any transaction where: 1. both transferor and transferee funds are valuation exempt; 2. both transferor and transferee funds are beneficiary funds; or 3. the transferor or transferee fund is neither registered nor required to register under the Pension Funds Act and the other fund is valuation exempt. | The records of any transaction effected in terms of section 14 (8) of the Act must be maintained by both funds and be made available to the Financial Services Conduct Authority upon request or inspection . | Financial Services Conduct Authority | Both Pension Funds applicable |
| Pension Funds Act 24 of 1956 | Notice 98 of January 1962 section 24(a) | 1. The resolution adopted for the alteration or rescission of any rule or for the adoption of any additional rule, together with a certificate signed to the effect that the resolution has been adopted | Within sixty days from the date of the passing of a resolution for the alteration or rescission of any rule or for the adoption of any additional rule the principal officer of the fund shall submit to the Financial Services Conduct Authority— | Financial Services Conduct Authority | Principle officer of the Pension Fund |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | in accordance with the provisions of the rules of the fund; 2. a certificate by a valuator as to the financial soundness of the alteration, rescission or addition, 3. a statement explaining the necessity for the alteration or rescission of or addition to the rules. | 1. two copies of the resolution adopted together with a certificate signed as explained in regulation 20 to the effect that the resolution has been adopted in accordance with the provisions of the rules of the fund; 2. if the alteration or rescission of or addition to the rules affects the financial condition of the fund, a certificate by a valuator as to the financial soundness of the alteration, rescission or addition or, if no valuator has been employed, a certificate by an actuary that the provisions of regulation 2 shall continue to apply; 3. a statement explaining the necessity for the alteration or rescission of or addition to the rules. | | |
| Pension Funds Act 24 of 1956 | Notice 98 of January 1962 section 33(1)(a) | Initial Contribution Statement: 1. Name of the fund; identification of the fund (e.g. registration number); period in respect of which the contribution is payable; name and address of the employer or pay-point which made the deduction; responsible person to contact at the employer or pay-point; 1. full name, date of birth, ID number or employer pay number, or other means of identification, date of membership, pensionable emoluments of member and percentage or amount of contributions, split between member and employer as well as an indication of any additional voluntary contributions paid. | Minimum information to be furnished by every employer to the fund with regard to payments of contributions in terms of section 13A (2) of the Act, shall consist of at least the following: Initial Contribution Statement: 1. Name of the fund; identification of the fund (e.g. registration number); period in respect of which the contribution is payable; 2. name and address of the employer or pay-point which made the deduction; responsible person to contact at the employer or pay-point; 3. full name, date of birth, ID number or employer pay 4. number, or other means of identification, date of membership, pensionable emoluments of member and percentage or amount of contributions, split between member and employer as well as an indication of any additional voluntary contributions paid. | Pension Fund | Employer |
| Pension Funds Act 24 of 1956 | Notice 98 of January 1962 section 33(1)(b) | Subsequent Contribution Statement in respect of each contribution period. | Minimum information to be furnished by every employer to the fund with regard to payments of contributions made shall consist of at least the following: Subsequent Contribution Statement: In respect of each contribution period either— 1. the information required in paragraph (a) (i) and (ii) above and part or all of the information | Pension Fund | Employer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | contained in paragraph (a) (iii) above; or 2. a reconciliation with the contribution statement for the previous period showing any differences in the data such as additions as a result of new members, reductions as a result of membership terminations, adjustments as a result of changes in pensionable emoluments or the payment of additional voluntary contributions or other information and corrections due to error. | | |
| Protection of Personal Information Act 4 of 2013 | 17 | Documentation of all processing operations | A responsible party must maintain the documentation of all processing operations under its responsibility as referred to in section 14 or 51 of PAIA. | Information Regulator | Responsible party |
| Regulation of Interception of Communications and Provision of Communication-Related Information Act 70 of 2002 | 40(5) | <ol style="list-style-type: none"> 1. The full names, surname and identity number of the customer; and 2. Mobile Subscriber Integrated Service Digital Network number (MSISDN-number); 3. In the case of a person who— <ol style="list-style-type: none"> 3.1. Is a South African citizen or is lawfully and permanently resident in the Republic, the full names and surname, identity number and at least one address of such person who requests that a SIM be activated on the electronic communication system of an electronic communication service provider; 3.2. is not a South African citizen or who is not permanently resident in the Republic, and who requests that a SIM-card be activated on the electronic communication system of an electronic communication service provider, the full names and surname, identity number and at least one address of such person and the country where the passport was issued 4. In the case of a juristic person: <ol style="list-style-type: none"> 4.1. the full names, surname, identity number and an address of the authorised representative of the juristic person; and 4.2. the name and address of the juristic | <p>Any customer who sells or in any manner provides an activated SIM-card to a person, other than a family member, and the person who is to receive the SIM-card must, immediately upon the sale or provision of the SIM-card, provide the relevant electronic communication service provider with—</p> <ol style="list-style-type: none"> 1. the full names, surname and identity number of the customer; and 2. all particulars as required in subsection (2) in respect of the person who is to receive the SIM-card. | Electronic communication service provider | Applicable to a person who sells or in any manner provides an activated SIM-card to a person, other than a family member. |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | person and, where applicable, the registration number of the juristic person | | | |
| Rental Housing Act 50 of 1999 | 5(3)(a) | Written receipt for all payments received by the landlord from the tenant. | A lease will be deemed to include terms, enforceable in a competent court, to the effect that the landlord must furnish the tenant with a written receipt for all payments received by the landlord from the tenant. | Tenant (means the lessee of a dwelling which is leased by a landlord) | Landlord (means the owner of a dwelling which is leased and includes his or her duly authorised agent or a person who is in lawful possession of a dwelling and has the right to lease or sub-lease it) |
| Rental Housing Act 50 of 1999 | 5(3)(h) | Receipts indicating the costs which the landlord incurred on the expiration of the lease. | A lease will be deemed to include terms, enforceable in a competent court, to the effect that the relevant receipts which indicate the costs which the landlord incurred, as contemplated in paragraph (g), must be available to the tenant for inspection as proof of such costs incurred by the landlord. | Tenant (means the lessee of a dwelling which is leased by a landlord) | Landlord (means the owner of a dwelling which is leased and includes his or her duly authorised agent or a person who is in lawful possession of a dwelling and has the right to lease or sub-lease it) |
| Rental Housing Act 50 of 1999 | 5(3)(n) | Receipts which indicate the costs which the landlord incurred relating to reasonable cost of repairing damage to the dwelling and the cost of replacing lost keys. | A lease will be deemed to include terms, enforceable in a competent court, to the effect that the relevant receipts which indicate the costs which the landlord incurred, as contemplated in paragraph (l), must be available to the tenant for inspection as proof of such costs incurred by the landlord. | Tenant (means the lessee of a dwelling which is leased by a landlord) | Landlord (means the owner of a dwelling which is leased and includes his or her duly authorised agent or a person who is in lawful possession of a dwelling and has the right to lease or sub-lease it) |
| Rental Housing Act 50 of 1999 | 13(3)(e) | Any book, document, or object of material importance regarding a complaint. | The Tribunal may summon any person who may reasonably be able to give information of material importance concerning a complaint or who has in such person's possession or custody or under such person's control any book, document or object to attend its proceedings and to produce any book, document, or object in his or her possession or custody or under his or her control, to give evidence or to provide information under his or her control. | Any person who may be able to give information of material importance concerning a complaint. | Rental Housing Tribunal |
| Second-Hand Goods Act 6 of 2009 | 15 | Certificates relating to the registration of a second hand dealer. | The original registration certificate of a second hand dealer must be maintained in such a state that it can be produced undamaged and in a legible condition. | Any person | Second-hand dealer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Second-Hand Goods Act 6 of 2009 | 28(1) | 1. Certificate of registration; 2. Any register, record, book or other document relating to the second hand goods. | A police official may enter the premises of any registered dealer in order to investigate compliance with this Act and require the dealer, owner, an employee or the person in control of the premises to produce the certificate of registration relating to that premises for inspection; produce any register, record, book or other document relating to the goods in or on the premises for inspection or for the purposes of obtaining copies thereof or extracts therefrom; | Police official | Any registered second-hand dealer |
| Second-Hand Goods Act 6 of 2009 | 29(1) | Any register, record, book or other document or information that pertains to the investigation of the police official. | A police official may enter any premises specified in a warrant and direct the person in control of or any person employed at the premises to disclose any register, record, book, other document or information that pertains to the investigation and is in the possession or under the control of that person. | Police official | Any person |
| Securities Transfer Tax Administration Act 26 of 2007 | 15(1) | Any information, document or thing as the Commissioner of the South African Revenue Service or that officer may require to inspect, audit, examine or obtain. | The Commissioner, or an officer named in an authorisation letter, may, for the purposes of the administration of this Act in relation to any person liable for the tax, require that person or any other person, with reasonable prior notice, to furnish, produce or make available such information, document or thing as the Commissioner or that officer may require to inspect, audit, examine or obtain. | Commissioner for the South African Revenue Service or an officer named in an authorisation letter | Any person liable to pay securities transfer tax |
| Short-Term Insurance Act 53 of 1998 | 35(a) | Returns relating to the business of a Short-Term Insurer containing the information prescribed by the Financial Services Conduct Authority. | Furnish the Financial Services Conduct Authority with returns relating to its business: in the medium and form; containing the information; and by the date or within the period, determined by the Authority by notice on the official website, either generally or in relation to a particular insurer. | Financial Services Conduct Authority | Long-term insurer |
| Short-Term Insurance Act 53 of 1998 | 35(b) | Specified information or documents as requested by the Financial Services Conduct Authority to complete or correct a return furnished to the Authority | If the Authority is satisfied that a return furnished to it in terms of subsection 36(1) is incomplete or incorrect, it may by notice furnish the Authority, within a specified period, with specified information or documents which he considers necessary to complete or correct the return or reject the return and require the long-term insurer to furnish the Authority, within a specified period, with a new return which is complete and correct. | Financial Services Conduct Authority | Long-term insurer |
| Short-Term Insurance Act 53 of 1998 | 48A(2)(h)(i) | The name of the relevant short-term insurer or, in the case of Lloyd's | A short-term insurer or a Lloyd's underwriter must oblige a person referred to in section 48A(1) to | Policyholders of short-term insurance policies | A person that does the following on |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | underwriters, the term _certain underwriters at Lloyd's', and the fact that that other person is acting in terms of a binder agreement and any remuneration payable to that person in terms of the binder agreement. | disclose to policyholders of short-term insurance policies other than a short term reinsurance policy, on behalf of that insurer or Lloyd's underwriter: 1. the name of the relevant short-term insurer or, in the case of Lloyd's underwriters, the term _certain underwriters at Lloyd's', and the fact that that other person is acting in terms of a binder agreement; and 2. any remuneration payable to that person in terms of the binder agreement. | other than a short term reinsurance policy, on behalf of that insurer or Lloyd's underwriter. | behalf of the short-term insurer or Lloyd's underwriter: 1. enter into, vary or renew a short-term policy, other than a short-term reinsurance policy, on behalf of that insurer or Lloyd's underwriter; 2. determine the wording of a short-term policy; 3. determine premiums under a short-term policy; 4. determine the value of policy benefits under a short-term policy; 5. settle claims under a short-term policy. |
| Short-Term Insurance Act 53 of 1998 | 48A(5)(c) | Information and documentation relating to short-term insurance policies | The short-term insurer or Lloyd's underwriter that entered into the agreement remains the owner of any information and documentation relating to the policies contemplated in the agreement, which must, upon termination of the agreement, be returned to the short-term insurer or Lloyd's underwriter. | Short-term insurer or Lloyd's underwriter who has entered into a binder agreement in terms of section 48A. | A person that does the following on behalf of the short-term insurer or Lloyd's underwriter: 1. enter into, vary or renew a short-term policy, other than a short-term reinsurance policy, on behalf of that insurer or Lloyd's underwriter; 2. determine the wording of a short-term policy; 3. determine |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | | | premiums under a short-term policy; 4. determine the value of policy benefits under a short-term policy; 5. settle claims under a short-term policy. |
| Short-Term Insurance Act 53 of 1998 | 48A(6) | Written agreement allowing another person to do any of the following on behalf of that insurer: 1. enter into, vary or renew a short-term policy, other than a short-term reinsurance policy, on behalf of that insurer or Lloyd's underwriter; 2. determine the wording of a short-term policy; 3. determine premiums under a short-term policy; 4. determine the value of policy benefits under a short-term policy; 5. settle claims under a short-term policy. | Any party to a written agreement referred to in section 48A(1) must on request make a copy of that agreement available to the Financial Services Conduct Authority. | Financial Services Conduct Authority | Settle claims under a short-term policy. |
| Skills Development Levies 9 of 1999 | 7(4) | Statement reflecting the amount of the levy paid to the sector education and training authority ("SETA") or approved body and containing such other information as the SETA or approved body, and the Commissioner of the South African Revenue Services may require. | An employer must, not later than seven days after the end of each month in respect of which the levy is payable submit to the SETA or approved body and to the Commissioner a statement: 1. in such form as the SETA or approved body, as the case may be, and the Commissioner, respectively, may require; and 2. reflecting the amount of the levy paid to the SETA or approved body and containing such other information as the SETA or approved body, as the case may be, and the Commissioner may require. | Sector education and training authority ("SETA") or approved body and containing such other information as the SETA or approved body, and the Commissioner of the South African Revenue Services | Employer |
| South African Reserve Bank Act 90 of 1989 | 10A | | A bank shall, in order to enable the Governor to determine whether the bank is complying with the provisions of this section, furnish the Prudential Authority Banks with a return on the prescribed form and in respect of the prescribed period. | Prudential Authority | Bank |
| Unemployment Insurance Act 63 of 2001 | 56(1) | Information regarding: 1. the street address of the business, and any of its branches, of the employer; 2. if the employer is not resident in the | Every employer must, as soon as it commences activities as an employer, provide the information referred to in subsection 56 (2) regarding its employees to the Commissioner, irrespective of the | Unemployment Insurance Commissioner | Employer |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | <p>Republic, or is a body corporate not registered in the Republic, include the particulars of the authorised person who is required to carry out the duties of the employer in terms of this Act; and</p> <p>3. include the names, identification numbers and monthly remuneration of each of its employees, and must state the address at which the employee is employed.</p> | earnings of such employees. | | |
| Unemployment Insurance Act 63 of 2001 | Notice 849 of 29 April 1983 section 6(1) | <p>1. Name of contributor</p> <p>2. Number of: identity document; reference book; passport; permanent residence permit; temporary work permit; worker's travel document;</p> <p>3. Race;</p> <p>4. Sex;</p> <p>5. Date employed;</p> <p>6. Trading name and address of business;</p> <p>7. Employer's UIF Registration number;</p> <p>8. Employer's telephone number.</p> | Every employer shall, within one month of taking into his employment a contributor who is not in possession of a contributor's record card or who is unable to produce such card, whether or not such contributor was previously provided with such card, furnish the Director-General with the particulars specified in Annexure UF 85, in respect of each such contributor. | Director General Department of Labour | Employer |
| Unemployment Insurance Act 63 of 2001 | Notice 849 of 29 April 1983 section 13(3) | Employer's criteria, disciplinary codes and procedures, and rules for the workplace forum. | An employer who employed a deceased contributor, shall, at the request of the Director-General, a regional director or an applicant for a payment in terms of section 38 of the Act forward forthwith to the Director-General, such regional director or such applicant, as the case may be, the contributor's record card of such deceased contributor, together with a certificate in the form of Annexure UF 128 containing the information called for therein in regard to such deceased contributor. | Director-General Department of Labour, a regional director or an applicant for a payment in terms of section 38 of the Unemployment Insurance Act 63 of 2001 | Employer |
| Value Added Tax Act 89 of 1991 | 55(1) | | <p>In addition to the records required under Part A of Chapter 4 of the Tax Administration Act, every vendor must, in particular, keep the following records and documents:</p> <p>(a) a record of all goods and services supplied by or to the vendor showing the goods and services, the rate of tax applicable to the supply and the suppliers or their agents, in sufficient detail to enable the goods and services, the rate of tax, the suppliers or the agents to be readily</p> | Commissioner of the South African Revenue Services. | Value Added Tax Vendor |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| | | | <p>identified by the Commissioner, and all invoices, tax invoices, credit notes, debit notes, bank statements, deposit slips, stock lists and paid cheques relating thereto;</p> <p>Provided that a vendor's records do not have to show the rate of tax where the vendor has been authorised by the Commissioner to calculate the tax payable by him in accordance with a method prescribed by regulation, as contemplated in section 16</p> <p>(aA) a record of all importations of goods and documents relating thereto as contemplated in section 16(2) (d);</p> <p>(aB) any documentary proof required to be obtained and retained in accordance with section 16 (2) (f) or (g);</p> <p>(b) the charts and codes of account, the accounting instruction manuals and the system and programme documentation which describe the accounting system used in each tax period in the supply of goods and services;</p> <p>(c) any list required to be prepared in accordance with section 15 (9); and</p> <p>(d) any documentary proof required to be obtained and retained in accordance with section 11 (3)</p> | | |
| Tax Administration Act 28 of 2011 | 29(1)(a) | Tax records | <p>A person must keep the records, books of account or documents that—</p> <p>(a) enable the person to observe the requirements of a tax Act;</p> <p>(b) are specifically required under a tax Act or by the Commissioner by public notice;</p> <p>(c) enable SARS to be satisfied that the person has observed these requirements.</p> | SARS official | <p>The requirements of this Act to keep records, books of account or documents for a tax period apply to a person who—</p> <p>(a) has submitted a return for the tax period;</p> <p>(b) is required to submit a return for the tax period and has not submitted a return for the tax period; or</p> <p>(c) is not required to submit a return but has, during the tax period, received income, has a capital gain or capital loss, or engaged in any other activity that is subject to tax or would be subject to tax but for the application of a threshold or exemption.</p> |

| Legislation | Specific Section/ regulation | Record Type | Requirement | Person or entity entitled to access (If limited) | Applicability |
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| Tax Administration Act 28 of 2011 | 31 | Tax records | The records, books of account and documents referred to in section 29 must at all reasonable times during the required periods under section 29, be open for inspection by a SARS official in the Republic for the purpose of— (a) determining compliance with the requirements of sections 29 and 30; or (b) an inspection, audit or investigation under Chapter 5. | SARS official | The requirements of this Act to keep records, books of account or documents for a tax period apply to a person who— (a) has submitted a return for the tax period; (b) is required to submit a return for the tax period and has not submitted a return for the tax period; or (c) is not required to submit a return but has, during the tax period, received income, has a capital gain or capital loss, or engaged in any other activity that is subject to tax or would be subject to tax but for the application of a threshold or exemption. |