



## DATA PRIVACY STATEMENT

### INTRODUCTION AND PREAMBLE

Abax Investments Proprietary Limited (“Abax”) shall take all reasonable measures to protect your personal information and for the purpose of this disclaimer “personal information” shall be defined as detailed in the Promotion of Access to Information Act, Act 2 of 2000 (“PAIA”) and the Protection of Personal Information Act, Act 4 of 2013 (“POPIA”).

The PAIA and POPI Acts are available online at <https://www.justice.gov.za/inforeg/legal.html>.

This data privacy statement explains how Abax processes the personal information collected from you and also informs you of your rights in terms POPIA.

### 1. PERSONAL INFORMATION PROCESSED BY ABAX

Depending on the type of business conducted, or the relationship you have with Abax the following types of personal information may be processed:

- name
- identification and registration numbers
- nationality
- contact details – residential, business and email addresses and telephone numbers
- gender
- age
- marital status
- tax identification numbers
- bank account details
- financial information

In addition to the above, the following personal information may be processed with regards to employees, prospective employees and shareholders:

- race (for employment or regulatory purposes only)
- qualifications
- employment history

### 2. WHY ABAX MAY PROCESS YOUR PERSONAL INFORMATION

Abax may collect, store, use, disclose and transfer your personal information primarily for the following purposes:

- To communicate requested information to you.
- To provide investment management and investment administration services to you as requested.

- To meet regulatory obligations such as is contained in (although not limited to) the Financial Intelligence Centre Act, 2001 (“FICA”), Financial Advisory & Intermediary Services Act, 2003 (“FAIS”) and the Collective Investment Scheme Control Act, 2002 (“CISCA”).
- Human resource management.
- Financial, regulatory and tax reporting.

### 3. YOUR RIGHTS AS A DATA SUBJECT

Abax recognises that all its Data Subjects have the following rights regarding their personal information.

- The right to expect that Abax uses their personal information appropriately, transparently, and securely.
- The right to establish whether Abax holds personal information related to them, including the right to request access to that personal information.
- The right to request, where necessary, that their personal information be corrected or deleted where Abax is no longer authorised to retain the personal information.
- The right to submit a complaint to the Information Regulator regarding an alleged infringement of any of the rights protected under POPI and to institute civil proceedings regarding the alleged non-compliance with the protection of their personal information.
- The right to be notified in any situation where Abax has reasonable grounds to believe that the personal information of the client has been accessed or acquired by an unauthorised person.

### 4. SECURITY SAFEGUARDS

The information Abax maintains concerning its data subjects is stored in secure databases that have built-in safeguards to ensure its privacy and confidentiality. Your personal information is strictly access controlled, with access granted to identified authorised persons only.

### 5. DATA SECURITY BREACHES

In the event of a security compromise where your personal information has been accessed or acquired by an unauthorised person, Abax will notify you directly as soon possible as provided for in POPI.

### 6. COMPLAINTS

If you have any questions or wish to complain about the processing of your personal information, or if you wish to exercise any of your rights as a data subject, you can contact Abax’s Information Officer. The Information Officer’s contact details are as follows:

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