

**LARSON FALCONER HASSAN PARSEE INCORPORATED (LFHP)
COMPLIANCE CHECKLIST 1: PROTECTION OF PERSONAL INFORMATION
ACT “POPIA”**

MINIMUM STANDARDS FOR PROTECTION OF PERSONAL INFORMATION IN
TERMS OF SECT 5, 11, 16, 18, 22, 24, 26, 69, 71, 72, 74 and 99

The client “data subject” has been apprised of the following provisions and the rights it has in releasing “personal information” to LFHP a “responsible party” as requested in terms of POPIA

| QUESTION | TICK BELOW AND/OR FILL IN RESPONSE |
|--|---------------------------------------|
| 1. Reason for collection of personal information | |
| 2. The employee of LFHP processed the personal information. | |
| 3. Do you consent to the processing of your personal information and / or that of your minor child (if applicable)? | |
| 4. Do you agree that the processing of personal information is necessary for the objects of concluding the necessary contract between LFHP and yourself? | |
| 5. Do you consent to your personal information being used to notify you of any promotional material? | |
| 6. Can your personal information be used for any statistical purposes that is required to be shared to the financial industry at large? | |
| 7. Which address do you nominate for communications involving your personal information and the changing thereof, reporting any security risks or security unauthorised accessing, policy changes, correct, deletion or destruction or other relevant information regarding the processing of your personal information? | |
| 8. Do you consent to the processing of your personal information for the purposes of profiling in particular to religious or philosophical beliefs, race or ethnicity, trade union membership, political persuasion, health or sex life, biometric information, criminal behaviour | |

CHECKLIST 1

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| and records? | |
| 9. The details of the Information Officer responsible for receiving, processing, storing, preserving, safeguarding, accessing, and retrieving personal information | |
| 10. Do you consent to your personal information being shared to any crossborder entities that are associates of LFHP? | |

**NB: The attached Consent to Use of Personal Information marked
Check List 1 – “A”**

CHECK LIST 1 – “A”

Consent to Use of Personal Information

I/We consent to LFHP completing Checklist 1 (as annexed hereto) and signed by myself in the presence of an LFHP representative and therewith accessing such personal information.

LFHP will only use the personal information accessed for lawful purpose as provided for in Sections 10 and 11 of POPI Act which may include:

- providing products or services to clients and to carry out the transactions requested;
- assessing and processing the instruction according to the client's mandate;
- conducting credit reference searches or- verification;
- confirming, verifying and updating or correcting client details;
- for purposes of legal services rendered by the responsible party;
- for the detection and prevention of fraud, crime, money laundering or other malpractices as required by legislation;
- for audit and record keeping purposes;
- in connection with legal proceedings;
- providing LFHP services to clients, to render the services requested and to maintain and constantly improve the relationship;
- providing communication in respect of services and regulatory matters that may affect clients; and
- in connection with and to comply with legal and regulatory requirements or when it is otherwise allowed by law.

Dated at _____ on this the _____ day of _____ 2021

Signature