



PROTECTION OF PERSONAL INFORMATION ACT COMPLIANCE AND PRIVACY NOTICE

1. INTRODUCTION

The right to privacy is an integral human right recognised and protected in the South African Constitution and the Protection of Personal Information Act 4 of 2013 ("POPIA").

POPIA aims to promote the protection of privacy by providing guiding principles that are intended to be applied to the processing of personal information in a context-sensitive manner.

Through the provision of our three integrated pillars of products or services, the organisation is necessarily involved in the collection, use and disclosure of certain aspects of the personal information of clients, beneficiaries, service providers, suppliers, employees, and other stakeholders.

A person's right to privacy entails having control over his or her personal information and being able to conduct his or her affairs relatively free from unwanted intrusions.

The aim of this compliance and privacy notice is to demonstrate our commitment to safeguarding your personal information and to notify you how and why we collect information from you, the way we use your information and how we share or disclose your information, as required in terms of the Protection of Personal Information Act ("POPIA").

This Notice provides you with the following information:

- Our commitment to compliance.
- A Summary of the compliance measures implemented.
- A notification on the collection of personal information and how we use the information.
- Your rights as a data subject.
- How to contact us in relation to this notice.

2. OVERVIEW OF SOFISA PHILLIPS

Sofisa Phillips is a marketing and sales agent, turnkey fund manager, and integrated consulting service to renewable energy, automotive, manufacturing, agriculture, oil and gas, mining, aviation, construction, ICT, and tourism.

Sofisa Phillips, as a group comprising Sofisa Phillips Holdings (Pty) Ltd, Sofisa Phillips Development Agency (Pty) Ltd and Sofisa Phillips Africa (Pty) Ltd includes our affiliates and business partners sharing various resources to provide three focused and integrated pillars of products or services.

In this notice, when we refer to "Sofisa Phillips" or "the group" we refer to one or more of the companies, affiliates, and business partners as responsible parties. Sofisa Phillips has developed this compliance and privacy notice for our customers, clients, beneficiaries, services providers, suppliers, employees, applicants for employment and any other data subject to understand our commitment to compliance with the provisions of POPIA and how and why the group collects, uses, discloses, and safeguards their personal information.



Directors: Thembela Sofisa & Andrew Phillips
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Head Office: 200 Circular Drive, Lorraine, Port Elizabeth, 6070
Telephone: 041 581 1394 Cell: 072 160 5431

The Sofisa Phillips three focused and integrated pillars:

Regenerate

Our Regenerative pillar provides proven products and services to rebuilding social capital and renewing social discipline through participatory learning and decision making. Proactive relationship building and community development.

Transform

Our Transformative pillar provides proven products and services to transform beliefs, habits, and processes. Our applied transformation basket focuses on integrated consulting services to include South Africa's broad-based black economic empowerment (B-BBEE), global local economic development (LED), environment, social and governance (ESG), sustainability, and greening the future. Our outcomes are measurable strategy, change participation, training, administration, accounting, implementation, monitoring, audit, and evaluation.

Legacy

Our Legacy pillar provides proven on-ground products and services to our global community. Our applied legacy basket enriches and empowers the lives of children, youth, the disadvantaged, communities, and growing business. Our outcomes are turnkey fund management in socio-economic development (SED), enterprise supplier programmes (ESD); enhanced with products/services marketing and sales, such as sophisticated weather predictive and measurement program assisting with sustainable agriculture, renewable energy, mining, and aviation safety.

3. COMMITMENT TO COMPLIANCE WITH POPIA

Given the importance of privacy, Sofisa Phillips is committed to effectively managing personal information in accordance with POPIA's provisions. To meet the requirements of POPIA, Sofisa Phillips has drafted a POPIA Risk Management and compliance programme or framework which includes:

- Development and implementation of Information processing plan and procedures, including the safeguards of personal information required under POPIA
- Development and implementation of a compliance monitoring plan
- Appointment of Information Officer
- Delegation of duties to staff and training on their duties
- Development of disclosures and client POPIA engagement processes
- Documentation of relationships with third parties on the sharing of personal information and/or service agreements for the outsourcing of certain POPIA obligations

4. PRIVACY STATEMENT

Sofisa Phillips respects your right to privacy and is committed to safeguarding your personal information when processing your personal information in terms of the Protection of Personal Information Act (POPIA).

This privacy statement applies to natural and juristic persons whose personal information is processed by Sofisa Phillips, including our customers, clients, beneficiaries, services providers, suppliers, employees, applicants for employment. In instances where Sofisa Phillips processes personal information as an operator for a responsible party in terms of a contract or mandate, we encourage you to read and understand that responsible party's privacy notice.

Our privacy statement outlines our policy surrounding the protection and processing of your personal information and our commitment to comply with the conditions set out in the Protection of Personal Information Act (POPIA) when collecting, recording, storing, disseminating, and destroying personal information, and responding to government requests for our data subjects:



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- I. In our capacity as the responsible party, we shall inform you that we shall be processing personal information, the purpose or reasons for the collection of personal information and we shall endeavour to obtain information directly from you upon your consent or if we can demonstrate a justifiable reason for collecting personal information.
- II. We shall process information for a specific, lawful reason and only adequate, relevant information which is limited to the purposes for which they are processed, and which relates to the functions or the activity for which it is intended.
- III. We shall delete or otherwise de-identify your personal information after the minimum storage periods required under our risk and statutory record keeping periods have expired.
- IV. We shall take reasonable steps to ensure personal information obtained from our data subjects or third parties is complete, accurate, not misleading and updated where necessary.
- V. We take measures to ensure data is kept safe and prevent loss of, damage to, or unauthorized destruction of personal information, and unlawful access to or processing of personal information.
- VI. We undertake to review and update our security measures in accordance with future legislation and technological advances.
- VII. Sofisa Phillips is obligated to inform the Information Regulator and the affected data subject if there is a breach of personal information. We shall aim to assist in minimising any losses that may result from such a breach in security.
- VIII. We shall implement the necessary measures that will give effect to your rights as a data subject as provided in terms of POPIA.

5. COLLECTION AND PROCESSING NOTIFICATION (via Service Provider)

This notification applies to natural and juristic persons (which includes) customers, clients, beneficiaries, services providers, suppliers, employees, applicants for employment whose personal information is processed by the group in its capacity as a responsible party.

Sofisa Phillips collects personal information directly from you where you provide us with your details or via a contracted service provider. In addition to the aforementioned, we shall, subject to your consent, or to execute our contractual agreement with you, obtain further information required from third parties and other sources where necessary.

In the provision of goods and services, either direct or via a contracted project, we process personal information as follows:

Information being collected	<p>The type of personal information we collect depends on the purpose and reason for which it is processed and relates to the functions or the activity or which it is intended. This will differ if you are a customer, client, beneficiary, services provider, supplier, employees or applicants for employment or any other data subject relating to the group’s product or service contractual requirements</p> <p>Personal information is information that identifies a person, examples of personal information we collect are your name, ID number, date of birth; contact details; information surrounding your personal circumstances such as your race, gender, nationality, marital status, medical, financial (such as banking details and credit card data), criminal and employment history.</p> <p>Juristic persons may be identified by their registered or trade name, registration numbers and business addresses. We may further collect information such as tax numbers, VAT numbers, PAYE numbers and bank account details.</p>
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	<p>Special personal information refers to religious or philosophical beliefs, race or ethnic origin, trade union membership, political persuasion, health or sex life or biometric information of a data subject as well as criminal behaviour. Sofisa Phillips only collects special personal information and personal information of a child if it is necessary for the performance of the client engagement or required by law.</p>
<p>Source of information</p>	<p>Sofisa Phillips collects personal information in several ways which include but are not limited to:</p> <ul style="list-style-type: none"> • Correspondence via e-mail. • Completion of paper-based information sheets. • Electronic-based information sheets. • Submission of paper-based information. • Phone calls which content is entered into records. • Mobile applications. • Social media platforms. <p>Sofisa Phillips collects information directly from you where you provide us with your details or if personal information is available in public records. In addition to the above, we may obtain information from third parties subject to your consent, unless a tri-party contract has been entered into with the group, service provider and yourself.</p> <p>The personal information provided by you may be processed across the group to ensure efficient interaction with Sofisa Phillips. Such information is processed, stored, and retained through the group's shared data technology platform.</p>
<p>Purpose of processing information</p>	<p>Sofisa Phillips shall collect personal information for a specific, explicitly defined, and lawful purpose that relates to the function or the activity of our organisation for which it was intended. The information collected by Sofisa Phillips may be used, transferred, stored, disseminated, shared, or processed for the following purposes:</p> <ul style="list-style-type: none"> • For implementing, monitoring, and auditing across client contractual requirements. • To carry out our obligations arising from any contracts entered between you and us. • To comply with legal and regulatory requirements or industry codes to which we subscribe, or which apply to us, or when it is otherwise allowed by law. • For record keeping purposes. • To respond to your queries or comments. • To notify you about changes to our services. <p><u>Service providers, direct or project related, and suppliers:</u></p> <ul style="list-style-type: none"> • Obtain quotes and services proposal for the delivery of services or provisions of goods. • For processing payments of invoices. • Liaising with the service provider or suppliers on the services to be rendered in terms of the agreement with the service provider or supplier. <p><u>Applicants for employment, including those on behalf of third parties:</u></p> <ul style="list-style-type: none"> • To determine whether the application is suitable for the position applied. • Credit and criminal check (subject to consent). • Contacting previous employers to obtain references concerning the job seekers employment history and performance. <p><u>Employees:</u></p>



	<ul style="list-style-type: none"> • To maintain the employer and employee relationship. • Comply with obligations imposed on the employer in terms of the South African conditions of employment legislation framework. • Administration of employee benefits. • Administration and submission of statutory submission and payments such as tax, UIF etc. • Payment of salaries. • Resolving labour disputes. <p><u>General:</u></p> <ul style="list-style-type: none"> • To detect and prevent fraud, crime and money laundering and other forms of malpractice. • To protect and enforce rights and remedies in terms of legislation and governing law. • For purposes of reporting, research, analytical and statistical purposes. • For the collection of debt, recovering unpaid monies. • Analyse the effectiveness of our advertisements, competitions and promotions • Evaluate the use of the site, products and services • Make the site easier to use and to better tailor the site and our products to your interests and needs.
Voluntary/Mandatory provision of information	The Data subject provides the information on a voluntary basis and understands that certain information is mandatory for the purpose of administration of the Responsible Party-Data subject relationship.
The requirement to process in terms of legislation	Sofisa Phillips may process information to comply with legislative requirements which include: <ul style="list-style-type: none"> • Compliance with regulatory and legislative requirements such as B-BBEE, FICA, BCEA etc. • Compliance with reporting requirements. • Record keeping requirements. • Prevention of money laundering, fraud, corruption, tax evasions and other crimes
Consequences of failure to provide information	Failure to provide the information will result in the Responsible party failure to comply with the requirements in terms of the service agreement and legislative requirements.
Cross border transfer	Where necessary information may be shared with organisations outside South Africa for legitimate purposes who subscribe to similar personal information protection laws. Information shall not be shared with countries that do not subscribe to personal information protections laws unless the Responsible party has entered into an agreement in terms of which the third party subscribes to the obligations for lawful processing of personal information.
Recipients of personal information	The Responsible Party shall only share information outside of the group in the following circumstances: <ul style="list-style-type: none"> • Government institutions to comply with the Responsible party's obligations in terms of the various legislation that regulates the Responsible party-data subject party relationship.



	<ul style="list-style-type: none"> • Services providers that assist the Responsible party to administer or manage the service agreement between the Parties or necessary to assist the Responsible Party to meet its legal and contractual obligations to the data subject. • If it is necessary to protect Sofisa Phillips legal rights and interests. Access to data subject personal information from within the group is limited to essential staff or specialist contractors that are required to access our systems for client service or maintenance purposes, who are bound by the requirements of the legislation and are required to maintain safety and security measures.
Nature and category of information	Sofisa Phillips does not collect and process the special personal information unless it is a requirement by law to process such information as part of our service delivery, in which case we shall obtain consent from you before collection thereof. We do not knowingly collect personal information from children (under 18 years of age) without the permission of their parent/s or guardian.

6. MARKETING AND PROMOTION

Sofisa Phillips shall not process personal information of a data subject for the purposes of direct marketing by any form of electronic communication unless Sofisa Phillips has obtained consent from the data subject or if the data subject is a customer, client, or beneficiary of Sofisa Phillips.

If a customer, client, or beneficiary submits personal information, by using our website, electronic mail or telecommunications, in the contexts of the sale of products or services, Sofisa Phillips may process personal information for the purpose of direct marketing to market Sofisa Phillips own or similar products or services. A customer will always be given a reasonable opportunity to object to the use of electronic details at the time when the data was collected and on the occasion of each communication.

7. YOUR RIGHTS AND RESPONSIBILITIES

7.1 Your rights

A data subject has a right to object to the use of personal information or complain about instances where any of their rights under POPIA has been infringed upon. In certain instances failure to provide us with personal information may result in the inability to deliver said services or goods to you, alternatively, you shall receive limited services, or we shall not be able to enter into a business, third party funded project or employment relationship with you, as the case may be.

In addition to the aforementioned right, you have the right to request access to personal information and, where necessary, that the personal information held by Sofisa Phillips must be corrected, destroyed or deleted.

7.2 Your responsibilities

To ensure that Sofisa Phillips at all times has the correct information of the person to whom the personal information relates (the data subject), we require our data subjects to supply us with information that is complete, accurate, and not misleading and to inform Sofisa Phillips when their personal information changes.

If a data subject submits personal information, or a record thereof, through our website, social platforms, by using email or via telephonic communication you are responsible to read and herewith acknowledge that you understand the terms of this POPIA Compliance and Privacy notice and gives Sofisa Phillips consent to process and further process personal information as explained in this notice.

8. DATA SUBJECT ENGAGEMENT PROCEDURES

Access to information requests can be made by email, addressed to the Information Officer. The Information Officer will provide the data subject with the prescribed form. Once the completed form has been received, the Information Officer will verify the data subject's identity before handing over any personal information. All requests will be



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processed and considered against the organisation's PAIA Policy, recordkeeping policies and any other requirements in terms of the law.

Sofisa Phillips takes all complaints very seriously and will address all POPIA related complaints in accordance with the following procedure:

- POPIA complaints must be submitted to the organisation in writing. Where so required, the Information Officer will provide the data subject with a "POPIA Complaint Form".
- The Information Officer will provide the complainant with a written acknowledgement of receipt of the complaint.
- The Information Officer will carefully consider the complaint and amicably address the complainant's concerns. In considering the complaint, the Information Officer will endeavour to resolve the complaint in a fair manner and under the principles outlined in POPIA.
- Where the data subject is not satisfied with the Information Officer's suggested remedies, the data subject has the right to complain to the Information Regulator.

The Information regulator's contact details are as follows:

Complaint's email: complaints.IR@justice.gov.za

General enquiries email: infoereg@justice.gov.za

JD House, 27 Stiemens Street, Braamfontein, Johannesburg, 2001

P.O Box 31533, Braamfontein, Johannesburg, 2017

Should you have any questions relating to this notice, you can contact the Information Officer. Our Information Officer is: Thembela Sofisa – Managing Director at popia@sofisaphillips.co.za

9. POLICY CHANGES

This notice, document number 209, was last revised on 07 September 2021. Any material changes hereto will be published on our website or distributed to clients in writing. Your continued use of our services following the update means that you accept Sofisa Phillips updated notice.



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