LEGAL PRACTICE RISK MANAGEMENT AND COMPLIANCE PRO- (LEGAL PRACTICE ACT OF 2014 (LPA) AND REGULA:								P)						Compliance Management Plan							
Regulatory	_	Risk Factors Consequences		Control Environment (Risk Monitoring)		Ris	Risk Rating (Inherent Risk)			Additional detail							Frequency of Testing		sting		
Regulatory Provision LPA:- s 24, s 26; Regulations 17.1	retation of Section (Risk  A person may only practice as a legal practitioner if he or she is	Admission and enrollment. The	face construction	Existing Controls  Notice o Council of an application and anneures,	Additional Controls  South African Qualifications Authority records confirmation	Impact	Probability	Risk Level	Risk Rating	Reasons for level  A person qualifies to be admitted if that person satisfies the personner for the 110 degree undersone the personner for the 110 degree.	Responsible Parti	Time line	Responsible Party	Monitor Method  Natice of application in writing , acknowledgement of receipt by Council, identity document, residence permit, educational	Annually	Emmi jannusid	Quarterly	Manthly	Meetly	Dudy	Adhes
Minimum qualifications and practical vocational training.	admitted and enrolled to practice. The High Court must admit and enrol a person who	application in writing. The Provincial Council where he or she wishes to practice or	Practising as a legal practitioner SAICA recognition. Citizenship of residence. Registrration of the contract. Period of inspection. I determined fee.	academic qualifications, b practical vocational training contract. Citizenship or	Authority records communion of the applicant's educational qualifications. The period for inspection. A copy of an order	0	۰	0	LOW RISK	A person qualifiers to be admitted if that person satisfies the requirement for the CLE depress, undergoon the practical version and practical control of the CLE depress, undergoon the practical versional practical control of the CLE depress, undergoon the CLE depress practical control of the CLE depress of the CLE depress the CLE depress of the CLE depress of the CLE depress the CLE depress of the CLE depress professional person against legal tablety for desires for familiar professional person pagines legal tablety for desires for familiar professional person against legal tablety for desires for familiar professional persons and or professional persons professional persons and for personal persons professional persons and for personal personal professional persons professional per	Candidate	Specific	Candidate	Counti, identity document, residence permit, educational qualification, procedura-outclosal training attendence and assessment results, character references, and admission certificates. Professional condensials. Non-conforming patifical constrainment. Leaks of Admission certificates, the Countr's websites, certification of admission and encollentes, application, ansual less and charges and holivae, appropriate licenses, partnership gyreement or memoranshim of association, martin origin of the feming hypothy documents. Confolions to association, martin only or followings hypothy documents. Confolions to the conformation of the conformation of the conformation of the conforma	ж						×
LPA: s 20 - 32, s 74; Regulation: r 6 & r 7 & r 54.34 Enrolment with Council:	A duly admitted legal practitioner must apply to the Council for the ensulment of his or her name as an attorney or	Choice of practice, Liability for	Professional indemnity insurance cover. The cancellation or suspension of	Proof of admission. Application for a FFC. Payment for	Proof of admission, if the		۰		LOW RISK	Professional indemnity insurance is designed for the protection of professional persons against legal liability for claims for financial loss	Legal		Legal practiotioner	Admission certificate, the Counci's website., certification of admission and enrollment, application, annual fees and charges and levies,	×				$\exists$	$\exists$	_
Cancellation or suspension of enrollment; LPA: ±23, ±24, ±25 & ±25;	severate. The application must	any fee, ameans or penalty imposed by the Council Proof of admission and enrolment.	enrolment. The conditions to	professional indemnity insurance. Payment of contributions, fees and levies.	practice is a partnership or a company, ensure that appropriate agreements and Roll of admitted legal	Ť				employees, in the conduct of the business and/or professional space.  The claim must be made during the lifespan of the insurance policy. The	Legal practictioner	aprilia	practiotioner	association, master copy of indemnity policy documents. Conditions to convenion. Annual mnewal of professional indemnity cover. The limit	•						_
Regulations: r 36, r 37 Authority to render services; Forms of legal practice:	Unity admitted and encoused up practitioners are entitled to practice, and may appear in any court of law or before any board or tribunal, or similar institution, Every legal practitioner who practises for his or her own	The sittle to practice. Appearing in any court of law, drawing up or executing any instruments or executing any instruments or comments required or intended for use in legal proceedings. Possession of a FFC. Reciveing or	A fee. The prior written consent of the Council. Asset of a non- profit organisation. The income or propagate of a law clinic	An admission certificate. A certificate of right of appearance certificate. A brief from an attorney. The	practitioners is kept by the	0	0	0	LOWRISK	The cities must be made during the Miragan of the Issuance partic. The Mary Land Conference of the Supplementary of Sup	Legal practictioner	Ongoing	Legal practiotioner	conservior. Annual messes of primitional inferentity cours. The less Admission certificate and right of payamans, it desease, e.g. Conveyancing, consent of the Count, distances of account to clear, can extend residual society, annuals, statement greating to the, contegering on sequences, posteroids payament, company application decreases, not estimate society, contegering to agreement, posteroids payament, contegering to application from, estimates of thinking, segar fraction Countries (see 1998). The contegering the content of the contegering the content of the conte	×					x	
	or tribural, or similar institution, Every legal practitioner who practitus for his or her own	for use in legal proceedings.  Possession of a FFC. Reciveing or holding propiets taken on	profit organisation. The income or property of a law clinic. Engaged in a legal practice. Leg- A contribution to the group professional indemnity	appearance certificate. A brief from an attorney. The all supervision of attorneys. The The application form shall be be in the form set out in Schedule	website. The right to appear o.b.o. of a person in any court. The failure on the part of a legal near fittings to service so					different ways. As a rule an attorney is more of a general practitioner, The LPHS's primary purpose is to provide all legal practitioners who are obliged to be in properties of a SEC with a primary level of professional				registration documents, cost estimate notice, contingency fee  Completed applications forms, statement of liability, Legal Practice  Council product I EAD attandance continues, surface or immerior's					-	=	_
LPA: 184, 185; Regulations: 47, r 48, r 49 Obligations of legal practitioner relating to handling trust monies; Application for and issue of Ridelity	account or in partnership, or as a director of a practice which is a juristic entity, must be in	Possession of a FPC. Reciveing or holding moniess taken on account of a fee or disbursement. Transfering from one practice to another. The	insurance cover payable by the applicant. The validity of FFC. I trust account practitioner is	7A in respect of attorneys, and 8. 78 in respect of advocates, enclosing the statement setting	application form, or notice to apply for a Ridelity Fund certificate, and the	0	0	0	LOWRISK	indemnity. The Fund may require a claimant to exhaust all available legal nemedies against the practitioner concerned, and against any other persons liable in respect of the loss suffered, before having	Legal practictioner	Ongoing	Legal practiotioner	certificate, Fidelity Fund certificate, and group professional indemnity insurance master policy. The limit of cover offered under the Professional indemnity insurance policy. The minimum limits of	×					×	
LPA: ±86, ±87, ±88, ±89; Regulation:: r54.16, r54.34, 54.25 Trust accounts;	Every practicing practitioner r must operate a trust bank account with a bank with which the Fund has made an	Maintaining a trust bank account. The depositing and investing funds. A separate trust savings account. The instruction	A bank which is not a party to a arrangement with the Fund. Interest accrued on investment accounts. The costs of the	n The notice intention to open a practice. Confirmation from the bank of the opening of a trust account. Keep a separate	Confirmation letter from the bank of the opening of a trust bank account. Fund's consent Lr.o. depositing of trust money.				LOWRISK	Banking accounts must be opened for the practice a trust banking account and a business banking account and a trust interest. Practitioners should ensure that the applicable interest rates and bank service fee structures are correctly applied to their trust current	Legal practictioner	Specific	Legal practiotioner	Notice of opening an office to the Council, confirmation letter from the bank of the opening of a trust bank account, signed statement issued by the bank(s) certifying the amount of the balance of trust banking account(s), or trust investment account. Charges on the trust account.	×			×		· ·	
Accounting:	arrangement, and promotive	of a client. Paving over to the	accounts. The costs of the inspection and the writing up of The removal of the records. Access of the records. The	set of accounting records for	Lr.o. depositing of trust money.  A letter confirming the	Ť	_			service fee structures are correctly applied to their trust current accounts. The reacied details must be subersized to the Broonts Records include both paper and electronic records. A legal practitiober must ensure that files are well documented and handled in accordance	practictioner		practiotioner	Trust cheque or EFT confirmation slip, trust receipts journal, Trust							
LPA Regulations: r S4.9, r S4.10, r S4.14.1- S4.14.7 Retention of accounting records and files:	records, and all files and documents relating to matters dealt with by the firm c.b.o. clients for at least seven (7)	the accounting records. The location at which such accounting records or files are	Access of the records. The security of the accounting records. The form of the records. The retrieval of the	Computerised records. The last entry recorded in each particular book or other document of record or file.	keeping and money handling procedure. Business interruption cover. The use of access controls (e.g. username	0	۰	٥	LOWRISK	roust ensure that files are well-documented and handled in accordance with appropriate file closure, retention and destruction procedures. Ontay governance directly impact the record-keeping of a legal practice and caecades throughout the firm's record-keeping system. File records	Legal practictioner	Ongoing	Legal practiotioner	Trust cheque or EFT report, trust receipts journal, Trust disbursements journal, Client's trust ledger, Trust transfer recent, business receipts journal, Lient's trust ledger, trust transfer receipt journal, client's business tedger, duplicate trust bank deposit slips, duplicate business bank deposit slips, duplicate trust and duplicate cash receipt basis. Trust bank deposit slips, duplicate trust and duplicate cash receipt basis. Trust bank deposit slips,	×			×		×	
Updating of accounting records; LPA Regulations: r S4.11, r S4.14.7.1-4, r S4.14.12, r S4.14.12	clients for at least seven (7)  Trust money must not be deposited in or credited to a	accounting records or files are ordinarily hosted. The branch Depositing or crediting trust money. Non-trust money. The	records. The retrieval of the Trust funds deposited. Seferuarding the trust funds.	document of record or file.  The written consent of the Council. Secarate business bank	access controls (e.g. username The correct accounting period. A copy of each account to the client. A source document for					and cascades throughout the firm's record-keeping system. File rooms Trust transactions must be kept separate from business transactions. A practitioner must keep individual trust accounts so that one client's				duplicate trust and duplicate cash receipt books. Trust bank deposit slip Trust cheque or EFT confirmation slip, trust receipts journal, Trust disbursements journal, Client's trust ledger. Trust transfer record.					$\dashv$	$\dashv$	_
other money; internal controls:	Trust money must not be deposited in or credited to a business banking account. Non- trust money found in a trust banking account at any time	Depositing or crediting trust money. Non-trust money. The remaining balance. Entries appearing in the trust ledger. The amount due to the practice.	Trust funds deposited. Safeguarding the trust funds. The monitoring of internal rules A banking product. The written consent of the Council.	The written consent of the Council. Separate business bank account. The amount of the transfer is identifiable, identify the trust creditor. The trust	the recording of the transactions. Regular audits and	0	0	0	LOWRISK	Trust transactions must be kept separate from business transactions. A practitioner must keep individual trust accounts so that one client's funds are not mingled with another's. Trust trade may not be used until the practice has earned it. A practice that, unless otherwise instructed, pay any amount due to a client within a reasonable time. Prior to	Legal practictioner	Ongoing	Legal practiotioner	Trust cheque or EFT confirmation slip, trust receipts journal, Trust disbursements journal, Client's trust ledger, Trust transfer record, business receipts journal, business disbursements journal, belon's business ledger, duplicate trust bank deposit slips, duplicate business bank deposit slips, duplicate trust bank deposit slips, duplicate business bank deposit slips, duplicate trust and duplicate cash receipt books.  Trust cheque or EFT confirmation slip, trust receipts journal, Trust	×			×		×	
LPA Rules: rS4.12, rS4.13 Accounting to clients; Payment to clients.	Every firm shall, within a reasonable time after the mandate given by the client has	The termination or discharge of the mandate given by the client. Accounting to client. The statement of account. The	Monies received. The amount due to a client. Changes to the bank account details.	The mandate. Statement of account. The amounts	Pay within a reasonable time. A copy of the account. Appropriate explanation.	0		0	LOWRISK	say any amount due to a client within a reasonable time. Price to it is imperative for practitioners to keep their clients abreast of activities and events currounding the use of their hands. It is practice to disclose to the conners of those lands where and how their hands were applied, as they have the right to know if their funds were applied appropriately.	Legal practictioner	Oneoine	Legal	Trust cheque or EFT confirmation slip, trust receipts journal, Trust disbursements journal, Clien's trust ledger, Trust transfer record, business receipts journal, business disbursements journal, clen's business ledger, duplicate trust bank deposit slips, duplicate business	x			×		x	
LPARales: r54.34.7.2, r54.34.34, r54.34.15.1 - 54.34.15.2	mandate given by the client has been discharged, or earlier termination of any mandate, Written authorisation is required	amount owed to or by the	An amount withdrawn from a trust investment account.	received. Disbursements made; fees and other charges. The amount Authorisation. Mandate.						as they have the right to know if their funds were applied appropriately. This ensures transparency on the part of the practice towards its clients, A Legal Practitioner must obtain a mandate from a client in order to kneet money in terms of section 86(4), in order to obtain such a	practictioner		practioner						_	_	
r 54.54.15.1 - 54.14.15.3 Transfers from trust investment account;	Written authorization is required for the payment of any guarantees issued by a bank on the strength of a trust	Witten authorization from the client. The payment of any guarantees issued by a bank. Withdrawals from a trust	Payment of guarantees Disbursements (including	Authorisation. Mandate. Transfer to the trust bank account. A contract. Disbursement and fees. Cheque	Cellular and telephone transacting. The correct accounting period. The client mandate. Termination of a	0	٥	۰	LOWRISK	mandate it is required that the Legal Practitioner explicitly discloses to the client that the investment is not protected by the Fund as would be	Legal practictioner	Ongoing	Legal practiotioner	Trust cheque or KFT confirmation report, trust receipts journal, Trust disbursements journal, Client's trust ledger, Trust transfer record, business receipts journal, business disbursements journal, clent's business ledger, duplicate trust bank deposit slips, duplicate business	×			×		x	
Withdrawals from trust banking LPA Regulations: r 54.14.8, r 54.14.9, r 54.14.10-11, r 54.15.1-2	investment. Any amount The trust banking account, trust investment account and trust		counsel's feed. Cheque or A trust account debit balance. Proof of rectification. The	or electronic transfer. The The accounting records. A	mandate. The reason for the debit balance. Proof of rectification.									bank deposit silos, duplicate trust and duplicate cash receipt books. The Trust bank deposit silp and Bank Statements, independent external written for electronic confirmation of the balance of the trust banking					-	=	_
Trust monies not to be less than trust bank balances; Trust accounts not to be in debit:	cash must not be less than the total of the credit balances of the trust creditors shown in its	The total balances of the creditors. A list showing all clients. The reason for the debit balance and rectification. The client list monthly extract.	amount of funds standing to the credit of each client. The manner of extraction of the list.	illst mosthly extract. Client's name. The ledger account. The written explanation, Bank The record of mandates. A separate trust account. The client's acknowledgement. The	The period of retention of the records.	0	0	0	LOWRISK	The cost within a section of an attention was in content, and it Montal The total transfer can never be more or less than what was vasibable to transfer. Providensity transferring amounts that are more than what is available to transfer is counting with brouble. Rule SLEIS disselses to entire that account of a trust legal practice, which that account is made and of various trust condition. The size assembly offices or welforming on A firm what not invest any funds on behalf of a client otherwise test accordance with the written instructions of that preven. The witten accordance with the written instructions of that preven. The written that continues the surplement of the prevent of the prevent.	Legal practictioner	Ongoing	Legal practiotioner	hand denoted their description and death who consistent extention that the forest hand deposit to and least Esteman, independent external start hand deposit to and least Esteman independent external start hand the start of the start has been as the start of the second as the left he generoseste, registerment letters, relative agreements and/or comparation agreements with cheefer. Taking at the start hand of the start of the start of the start of the SCA Likesse, inventors of models do not, included the SCA Likesse, inventors of models do not comparations with the Caract, trust actions are the Fund, commissions of the start of the start of the start of the commissions and the start of the start of the commissions are start of the commissions and the commissions are start of the commissions and commissions are start of commissions and commissions are commissions are commissions and commissions are commissions and commission	×			×		×	
LPA Regulations: r SS.A, r SS.S, r SS.S- B, r SS.12 Investment Mandates:	A firm carrying on an investmen practice must obtain an investment mandate before	balance and rectification. The client list monthly extract. The written mandate. The acknowledgement by the client. Resporting to the client. The	income earned. The protection of the Fund. The commission earned. Access to the	The record of mandates. A separate trust account. The client's arknowledgement. The	The form of the investment mandate. Notify the Council in writing. The period of the		0		LOWRISK	A firm shall not invest any funds on behalf of a client otherwise than in accordance with the written instructions of that person. The written instructions shall be obtained by the firm before the investment is	Legal		Legal practiotioner	FSCA License, investment mandate form, statement acknowledging that the trust funds do not enjoy the protection of the Fund, commondation with the Council trust accounting seconds.	×			×		×	
Report to clients i.c.t. investments; Accounting records for investment LPA: Regulations 55.9 - 55.11, 56	investment manages before investing funds. The investment mandate in the form of No practice may mix deposits in	capital movements during the period of the report. Payments A pooled account or money	accounting records. Funds entrusted. The current details o	list of trust creditors. The investment balance. The	report. The retention of the accounting records. Review the Rention of written receipts. A					made. In cases of urgency, the firm may obtain them as soon as possible thereafter and shall forthwith upon making the investment.	Legal practictioner	replace	practiotioner	bank certifying the amount of the balance of the investment account.	L.			^			
Pooling of investments; Restrictions applicable to certain investments;	a posled account or make other money market investments in any manner otherwise than by	market investments. Acknowledgement of receipt from the bank, investing in	Accepting funds. Placing funds with a bank. Unlisted company. Adequate security. Specific written authorisation. Written	acknowledgement of receipt. The bank's written receipt. The share certificate or loan	written contract. Copies of all relevant letters of request and response. ISE letting.	0	0	۰	LOWRISK	together in order to meet the minimum investment requirements by a banking institution, as this would amount to a breach of the prescribed rules. All investment instructions from the clients must be in writing.	Legal practictioner	Ongoing	Legal practiotioner	Written receipts, proof of deposits, investment confirmation from the bank or money market investment, acknowledgement of receipt of each deposit or monet market investment, and investment mandate records kept by the practice. Separate toust account and supporting	×			×			×
investment of funds by firms c.b.o. LPA: s 26, s 92; Regulations: r 62.4. Code of conduct:	accepting funds as agent for A code of conduct applies to all	shares or debentures o.b.o. of a A code of conduct. The	Instructions. Misconduct.	agreement. Written	Accounting records.  Court order, Rulings concerning the standards of conduct.					detailing the manner and form of the investment and only approved.  The types of conduct by a legal practitioner may amount to misconduct see.				documents, written report to the client on income earned and capital.  The Code of conduct. Payment of subscription fees. The standards of		$\dashv$			+	$\dashv$	
Code of conduct; Offences and penalties; Proceedings after disciplinary hearing and sanctions.	legal practitioners and all candidate legal practitioners. The code of conduct is published in the Gazette and the	subscription fee. A person who has been struck off the Roll or suspended from practice. Receiving or holding funds.	Dealing with trust funds. An order striking the name of a practitioner from the Roll or suspending the practitioner from	Payment of subscription fees. The Council's consent. The standards of conduct.		0	0	۰	LOWRISK	are: - a breach of the LPA, Regulations or Code of conduct; - being convicted of a serious offence, a tax offence or an offence involving dishonests;	Legal practictioner	Ongoing	Legal practiotioner	processoral practice and ethical conduct. The values of honeity and integrity. The duties of a legal practitioner. Documents drafted. The administration of justics. Uphold the values of honeity and integrity. The drafting of documents, guidelines in the form of Rulings. A legal	×					×	
LPA Regulations: r S4.31 to S4.32 Closure of a firm	A trust account practitioner who practices for his or her own account, and who intends to cease practising must, before	Receiving or nodaing funds.  Ceasing practice. Notice to cease practising. Ffuture contact particulars. The status of the writing up of the accounting	An audit or inspector's report.  Claims of the trust creditors. The auditor confirmation. Cettificat of nil balance from the bank.	The notice to Council. The audit report. Future contact particulars. Particulars of the bookkeeper. The name of the	Liability for claims of the trust creditors. Confirmation of the date of closure of the account. Liability for claims.	0	۰		LOWRISK	Involving databases;  Classime of a pacific by a practitioner or practice may not be performed correctly and can result in distorted trust creditor' records and manifes being misappropriated or incorrectly accounted for. Plan how you will communicate with clients through the build-up to closure. A	Legal	Specifi-	Legal	The drafting of documents, guidelines in the form of fixings, A legal Notice in writing to the Council, Certificate of Nil balance from the bank where the trust savings account or interest-bearing rist account, trust creditors records, final list of creditors, auditor's assurance report, confirmation and receits of final where another leval succitioner							,
	cease practising must, before ceasing to practice, provide the	particulars. The status of the writing up of the accounting records. Taking over the trust	Payment of creditors. Receipt o	f auditor or inspector. A signed						being micappropriated or incorrectly accounted for. Plan how you will communicate with clients through the build-up to closure. A practitioner must focus on client confidentiality, including not sharing	Legal practictioner	system	Legal practiotioner	creditors records, final list of creditors, auditor's assurance report, confirmation and receipt of funds where another legal practitioner takes over, and a final audit of the trust bank account and accounting					$\perp$		_
			LEGAL P	RACTICE RISK MANAGEME 38 of 2001 (FICA) AND N	NONEY LAUNDERING AND	HOGRAM D TERROF	ME (RMCI	r) ICING C	ONTROL R	EGULATIONS)				Compliance Moni	toring Pla	in					
Regulatory Regulatory Provision	Universe Interpretation of Section	Risk Causal Fact (Risk derivers)	Factors Consequences (Risk	Control Environm  Existing Controls	ent (Risk Monitoring)  Additional Controls	Ris	k Rating (I	Inheren Risk Level	t Risk)	Additional detail	Responsible Parti	Time line	Danner Chin Co	Monitor Method		-	Freque	ency of Te	sting		M
FICA: s 20A, s 21, s 21A; Regulations: r. 2, r 2, r 4.	Interpretation of Section (Blish analysis)  A law firm may not establish a business relationship or	The use of an anonymous, false or firthings names. Establishing	The identity of the client. The authority of a legal person or a trust. The ML/TF risks. The	RMCP. Verify the identity and surbody of the client Torce	Verify the residential address.			O CONTRACT		A RMCP. RCA applies to existing clients of a law firm who had already				SMCP. Verify the identity and authority of the client. Trace accounts at the law firm. Verify the particulars supplied with information which is							
Anonymous clients and clients acting underfalse or fictitious names; identification of clients and other	conclude a transaction with an anonymous client or a client with an anonouse false or	and verifying the identity of the client. The RMCP. Future transactions. The knowledge of	purpose of the business relationship. The funds used in	accounts. Keeping paper trails of all transactions. Comparing the residential address with	intermediaries. Guidance notes concerning the verification of identities.	0	۰	0	LOW RISK	firm may interact with a broad client base encompassing natural and legal entity, both within and outside the Republic of South Africa. FICA requires that law firms verify the identity of clients and retain	Key individual(s)	Ongoing	Legal Practitioner	obtained through intermediaries. The official document issued by the SARS. Guidance notes concerning the verification of identities. Keeping paper trails of all transactions. Review of information. Comparing the			×				×
FICA: s 21B, s 21C Additional due diligence measures relating to legal persons, trusts and	If a client that establishes a business relationship or concludes a single transaction, it a legal person or a natural	Acting a.b.o. a partnership, or a trust. The nature of the business. The ownership and control structure of the client.	The identities of natural person Anonymous partnership. The source of funds. The	<ul> <li>The identifying name and number of the partnership. The person who exercises esecutive</li> </ul>	The partnership agreement. The Trust deed or Founding statement. Verify the	0	۰	٠	LOWRISK	The attorney/law firm must establish the identity of the beneficial owner by determining the identity of each natural person who, independently or together with another person, has a controlling	Key Individual(s)	Ongoing	Legal Practitioner	The identifying name and number of the partnership. The person who exercises executive control over the partnership. The authorised person. The identifies of the natural persons. The identifying name and			×				×
partnerships; Ongoing due diligence. FICA: s 21D, s 21E, s 21F, s 21G, s 21H	person acting c.b.o. a When a law firm doubts the	The required steps. Determining The information on business	beneficiaries in the trust deed. Complex, unusual transactions. The versicity or adequacy of	control over the partnership. The authorised person of the The confirmation of	particulars obtained. The office of the Master of the High Court. Obtain information on business.					each natural person who exercises control of that legal person through				number of the trust. The identities of the natural persons. The identity of the founder and each trustee. The identity of the authorised person. The confirmation of information on business relationship. The approval					_	_	
Doubts about verscity of previously obtained information; inability to conduct customer due	verscity or adequacy of previously obtained information which the practice is required to	relationship, from or i.r.o. a client. The additional due diligence measures. The	information. Prominent public or influential person/official. The source of wealth and fund	information on business relationship. The approval for establishing the business	The spouse, civil partner or life partner; the previous spouse, civil partner or life partner, if	0	۰	۰	LOWRISK	Lister residentings may be otherwised where the credit is deemed to highly a fet as a result of adverse man, FPP tribus, ascitions or any other information at the ferm's Glaposal. The firm may terminate the residentially in keeping with any legislation responsibilities as well as contractual colligations as a result of adverse naves. List firms most A resolution authorities prepresentatively to establish a business anisonably or enter into a transaction o.b.o. the Close conportion.	Key individual(s)	Ongoing	Legal Practitioner	for establishing the business relationship. Due diligence. The RMCP. The immediate family members and associates of a person in a foreign or domestic prominent position. The spouse, civil partner or life partner;			×				×
Gligence; FICA Regulations: rS, r6, r7, r8 Information concerning foreign	verify, the law firm must A law firm must obtain full names; date of birth;	beneficial owner of that The nationality of a person. The passport number, Transactions	of the client. The beneficial Facilitating money laundering activities. The proceeds of	The passport number. A clear certified copy of a barcoded	applicable; children and step The South African income tax registration number.					contractual obligations as a result of adverse news. Law firms must  A resolution authorising representative(s) to establish a business relationship or enter into a transaction o.b.o. the Close corporation.				for establishing the business relationship, Due diligence. The BMACT. The immediate family members and associated of persons in a freeign or diseased; promisent position. The spouse, child partner or tille partner, the provious speace, cell partner or tille partner, or applicable; children The RCA documentation will be required, by a law firm, when a foreign relatification or a longing company, purchase or will an immediate property in South Addics (Acritical copy of Paragort. When foorigin solubilization partners of partners of the company. The solubilization partners of the company.					$\dashv$	$\dashv$	_
nationals; Verification of information concerning foreign nationals;	nationality; passport number; South African income tax registration number issued to	involving a client. The knowledge of the client and the client's business activities. The	unlawful activity. The source of the funds used. Verification of the particulars. Income tax levy	identity document, contact details and residential address. The photograph. Comparing	information obtained from any other independent source. The stamp of the Registrar of	0	0	0	LOWRISK	FICA documents must be provided i.r.o. individual persons that are	Key Individual(s)	Ongoing	Legal Practitioner	property in South Africa (Certified copy of Passport. When foreign individual signs any transfer documents with an attorney, they should produce their passport to the attorney, to verify their identity. Copy of			×				×
FICA Regulations: r9, r10 information concerning foreign companies:	A law firm must obtain from the person acting o.b.o. the foreign	client's business activities. The The authority to act o.b.o. the foreign company. The name of the company. The country of	The legal form of the company.	The name under which it	Documents issued by the SARS. Information obtained from any other independent source.	0	0	0	LOWRISK	condicate to the sure or spiniser that close corporation. It the operating address in different to the neglisters of different document to the progress of devices, an approved document to The person with the authority to act to. b.o. the foreign company operating from multiple addresses and the collection of reviews are the other of risk faced by the law firms concerning the information of foreign companies. Where the company is a foreign companies, where the company is a foreign companies. Where the company is a foreign companies.	Key individualisi	Oneoine	Legal Practitioner	produce their passport to the attorney, to verify their identity. Copy of the business address, the name under which it conducts business in the country of incorporation; the name under which it conducts business in the Republic; the address thore which it operates in the country of incorporation; or the address of the head office; the address from which it operates in the Republic; or of the local office; the Insued Incorne tax Manna and address scrome to a scatterior too number. Name, other of			×				×
Verification of information concerning foreign companies.	company with which it is establishing a business relationship or concluding a A law form must obtain from the	foreign company. The name of the company. The country of incorporation. Multiple addresses. The natural person action of a level necess.	company. The particulars obtained i.r.o. a foreign company. The collection of The least form of the company	conducts business in the Republic. Proof of address less than three months old, or a valid and still enforced lease Name and address. Date of	information obtained from					foreign companies. Where the company is a foreign company the practitioner needs obtain the registered name and number under which I you firms must extablish the existence and the identity of the natural				incorporation; or the address of its head office; the address from which it operates in the Republic; or of the local office; the issued income tax Name and address income tax resistration number. Name, date of					_	$\rightarrow$	
FICA Regulation: r11, r12, r12, r14, r15, r16, r17, r18, r19 information concerning other legal	A law firm must obtain from the natural person acting o.b.o. a legal person other than a company, close corporation or	Acting a.b.o. of a legal person other than a company, close corporation or foreign company. The address from which it	The legal form of the company. Registration with SARS. The Master's authorisation. The death of a legal person. The	Name and address. Date of birth, id Nr. Residential address and contact particulars The constitution or founding	another independent source. Certified document. The Master's office. The status of	0	0	0	LOWRISK	Law firms must establish the existence and the identity of the natural person or legal person. The law firm must verify information i.c., the legal form of the entity and the information obtained and compare the information obtained with the expected information. The law firm must	Key individual(s)	Ongoing	Legal Practitioner	Name and address income tax registration number. Name, date of birth, id Nr. Residential address and contacyt particulars The constitution or other founding document. The income tax registration number. SARS Document. Name of the country. Registrated name and			×				×
Verification of information concerning FICA: s 22, s 22A s 23, s 24, s 25; Resolutions: r 20	foreign company with which it is When a law firm is required to	operates. The nationality of the Keeping records of information.	existence and the identity of The source of the funds used in	document. The income tax Certified extracts and copies of	registration. Guidance notes.					establish the identity of the beneficial owner, determine the identity of Law firms must consider nature of the business relationship, the				number. The official document of the issuing country. Trade name.  Copies of the record. Copies of, or references to information provided					-	=	_
Regulations: r 20 Obligation to keep CDD records; Obligation to keep transaction records:	obtain information pertaining to a client or prospective client, the law firm must keep a record of that information. The records	The manner of verifying identity. The nature and purpose of the business relationship. The transactions	concluding transactions. Access to the records. The reconstruction of the records. The format of the records.	the record. The format of the record. Business correspondence. The date of transaction identificing	form. Records kept for five years. The records are readily available. Confirmation Certificate. On site reviews of a	0	0	0	LOWRISK	intended purpose of the business relationship and the source of the funds expected to be used. The law firm must retain all documentation detailing transfers in and out of client accounts, including any and all supports of the law of the country of the law of the	Key Individual(s)	Ongoing	Legal Practitioner	or obtained. A record of every transaction. The identifying particulars of files. The currency of denomination. The date on which the transaction was concluded and the parties to the transaction. The nature of the transaction and the humans commanders. The date on which the			×				×
FICA: s 268, s 26C s 27, s 27A; Regulations: r 21	that information. The records  No person may acquire, collect, use, possess or own property; provide or make available, or	ownership of property. The	The format of the records. The Dealing with prohibited property. Financial service, economic support. Baselle accounting support.	transaction. Identifying information from riz.o. a client. Extracts or copies of the. Ministra's parents on. The	FICA. The direction to report.			۰	LOWRISK	supporting documents. Records to be layed on file to provide an audit supporting documents. Records to be layed on file to provide an audit Law firms are obliged to report prescribed information regarding properly in its possession or under its control o.b.o. a person an entity who have conceiled attempted to commit or facilitated a science.	Key individually	Onening	Jami Prartitionar	The nature, source, location or desciption of the property. Information from each of the nature, source, location or desciption of the property. Information from or lz.o. a client. Estracts from or copies of records. Mileitar's narminion. The subhirthing of the Mileitar's Mileitar (Mileitar) in the control of the Mileitar's Mileitar (Mileitar).			×				×
Prohibitions relating to identified persons and entities; Accountable institutions to advise PCA: x 28, x 28A, x 29, x 31;	invite a person to provide or make available property; any	availability of the property. The prohibited person or entity. Permission to conduct services. The recorded thesehold report.	economic support. Benefit, direction or control by a prohibited person or entity. The The treshold smount. Brocest	Minister's permission. The request from the Centre. The verification of identities. Proof	The publication of the Minister's notice. The allocated number. A warrant issued. The Court order. The					who has committed, attempted to commit, or facilitated a crime relating to tenerist financing and activities within the prescribed period. The reoreentative from the Centre must have written authority to the convention of the specific of the specific property.	,			permission. The publication of the Minister's Notice. Information with regard to the verification of identities. The source of the clean's income; and the source of the funds. The movement of the property. Title Deed. The CTR transmission proof. The forms of the proof. Serral. The							
Regulations: r 22, r 23 Cash transactions above prescribed limit:	A law firm must report to the Centre, the prescribed particulars concerning a transaction concluded with a	The prescribed threshold report. Making or receiving payment. Possession of property. The prescribed period. The	The treshold amount. Proceeds of unlawful activities. The currency of the funds. The contents of the report. The	The threshold report (CTR). The prescribed period of reporting to the Centre. The type identifying document. The issuing country. The Director's	The Court order. The publication of a proclamation. The client's business profile or commercial status. The internet portal.	0	۰	۰	LOWRISK	The circumstances giving rise to the submission of the report. The obligation to report a cash transaction above the prescribed limit arises when a transaction, or series of transactions, is concluded with a cilent by means of which cash transactions above prescribed limit is paid or	Key individual(s)	Ongoing	Legal Practitioner	and the source of the funds. The movement of the occords. Tild Deed. The Prescribed president report. The Semant of the report-Forms. The prescribed presided of reporting to the Certor. The premon's tilds, gender, names and summers; identifying number, occupation, nationality and date of birth, the ounce of identifying information; the person's tild.			×				×
Property associated with temprist and FICA: s 32, s 33, s 34, s 35 Regulations: r 23	d client if an amount of cash in A report to the Centre must be made in the prescribed manner.	publication of a preclamation.  Making a report to the Centre. A	The prescribed manner of manufacture for proceeds of unless the	Issuing country. The Director's The report - Form 1. Confidentiality. The request by	portal. The order by a judge to report. The concerning the report. The status of the file and any					received by the law firm to or from the client. Failure to report a cash  The manner of reporting, the contents of the report, the transactions concluded by a prohibited names or earthy. The method of disposing				contact address in the Republic; the person's contact number; the The specified format of the report - Formi. Confidentiality. The request by the Cents-The supporting documentation. The prescribed period of reporting. The Central's direction in writing. The order by a judge to					-	-+	_
Reporting procedures and furnishing of additional information;	The Centre may request a law	property owned, controlled or under the direction of a prohibited person. The contents	activities or money bundering activities. The funds affected. The transfer of the proceeds of	the Centre. The supporting	previous activity. The manner	0	۰	0	LOWRISK	metalved by the law first too a from the disest. Ealbasts argents cash. The manner of reporting, the contents of the support, the transaction concluded by a problebul general one entity. The method of disposity the hands or property. The followation relative to transactions allowing and supporting documentation. The sourced or property and the suitability and supporting documentation. The sourced or property and the underlying law from mount misses all required differentiation to law estimatories properties in the concern of properties and investigating supplicious basis activities, in reporting supplices saved flegal activities, the first nor ranks practitioner must serve that the district beauts and confessional shares practitioner must serve that the district beauts and confessional shares practitioner must serve that the district beauts and confessional shares practitioner must serve that the district beauts and confessional shares practitioner must serve that the district beauts and confessional shares practitioner must serve that the district beauts and confessional shares and the server of the ser	Key Individual(s)	Ongoing	Legal Practitioner	reporting. The Centre's direction in writing. The order by a judge to report. The manner of reporting. The contents of the report, date and time of the transaction, or, the period over which the series of			×				×
FICA: ±27, ±28, ±29, ±41; Regulationer 24 Reporting duty and obligations to	such additional information, Compliance by law firms is not affected by the duty of secrecy or confidentiality or any other	Making, initiating or contributing to a moort.	professional privilege. Evidence	witten direction. The contents Precished period of reporting. A report sent to the Centre. Certificate issued by the	Confidentiality policy. The prescribed form. Additional information. The certificate.				LOWRISK	Law firms must release all required information to law enforcement agencies in the course of reporting and investigating suspicious business activities, in reporting suspicious and illeral activities, the firm or sole	Key individualisi	Oneoine	Legal Practitioner	report. The manner of reporting. The contents of the report, date and liber of the transaction, ar, the period over which the series of Prescribed presided of reporting. An apert sent to the Centre (Prescribed Form), Certificate issued by the Centre. The Centra's approval of the late submission of the report. Additional information. Legal			×				×
provide information not affected by confedentiality rules; FICA: s 42, s 42A, s 43;	restriction on the disclosure of information. Reporting duty and A law firm must formulate and	Criminal or civil lisigation. The expiry of the reporting period .	expiry of the prescribed period of reporting, information The establishment and	Centre. The Centre's approval. Court order.	The Convert internal rules					to the managed to be because the board arranged to				proceedings. An order of court, information specified in the certificate.  Esure that the client knows and understands when any information internal rules. Becord of uniffication of the Manife of pagence. Training					_	$\rightarrow$	
Regulations: r 25, r 26, r 27 Formulation and implementation of internal rule:	implement internal rules concerning the establishment and verification of the identity	implementation of internal rules. The identification of persons. The information to be recorded. The availability of the	verification of the identity of persons. The reportable transaction. Competence and	verification of the identity of persons. Training for employee. Appointing a person to assist the oractitioner. The keeping	Record of the screening process. Notice given with regard to an employee.	0	۰	0	LOWRISK	combating money laundering, terrorest financing and proliferation financing. A risk-based approach entalls implementing controls that are proportionate to the level of risk identified. Law firms are required to	Key Individual(s)	Ongoing	Legal Practitioner	for employee. The keeping record of the screening of employees. Notice given i.t.o. RCA. The step to determine when a transaction is reportable. Screening employee for competence and integrity. Scrutinians employee information. Processes and workins methods			×				×
Governance of anti-money laundering FICA: x 46, x 46A, x 47, x 48, x 49, x 50, 51, x 52, x 53, x 54, x 55, 56, x 57, x 58,	of persons whom the practice	perform additional due dilicence	Interrity of employees.  Administrative sanction. The destruction of the record.	information. The prescribed	Disciplinary steps for non- FICA registration number. The proclamation or notice. The					conduct risk assessment in rezard to processes, to develop, maintain. The contravention the provisions of FICA, the Regulations or the internal false. As the first that take to comply with the duty to perform additional due diligence measures is non-compliant. Establishing a prohibited extension satisfactory or entering into a prohibited and prohibited and prohibited are some contravential and prohibited and prohibited are some contravential and				request made by the Centre. The direction by the Centre, or an order by		-		+	+	$\dashv$	_
s 59, s 60 Failure to identify persons; Failure to comply with duty in regard	Establishing a business     relationship or single transaction     or the conclusion of any     transaction without identifying     persons in contravention of	measure. Keeping the record of information. A prohibited business relationship. Tampering	Informing the Centre. Prohibite person or entity. The conveyance of cash into or out	d information. A request made by the Centre. The report	direction by the Centre, or an order by a designated judge. The electronic transfer of	0	۰	۰	LOWRISK		Key Individual(s)	Ongoing	Legal Practitioner	a designated judge. The report regarding the conveyance of cash. The proclamation or notice. Knowledge or suspicion or any information. The perform additional due diligence measures. Scrutinise its information			×	_	_	_	×
FICA: x 61A, x 62B, x 62, x 62C, x 68 Failure to comply with duty in respect of Risk Management and	Endlum to comply with duty in a	The disclours of confidential	Confidential information. The production of a copy of a repor imprisonment or a fine Administrative sanction. Non-	RMCP review. Copy of the t. RMCP. The precuribed period of reporting. Training employees. Verification of information. A	Making a copy of internal rules. A warrant or summons. A forfeiture order.				LOWRISK	The FIC may impose administrative stanctions on a law from for offences under FICA. Failure to:  - formulate and implement internal rules;  - provide training or appoint compliance officer; and  - obstructing of official in performance of functions.	Key industry	Ogenia-	Legal Providence	BMCD review Copy of the BMCD. The precedent period of reporting			×		$\Box$		×
Compliance Programme; Failure to register with Centre;	BMCP and develop, document and maintain an anti-money laundering (AML) and counter- terodist financing (CTF) RMCP;	information held by or obtained from the Centre. The duty in respect of RMCP. Obtaining approval for the RMCP. Making	compliance. The exercise of	Verification of information. A report to the Centre. Internal	NCE BISK MANAGEMENT	PI AM (no				provide training or appoint compliance officer; and     obstructing of official in performance of functions.				Training employees. Verification of information. A report to the Centre. Internal rules developed. A copy of internal rules. A versmot or summons. A forfeiture order. The record of training provided to employees. Maintain the correctness of particulars and third parties	Щ				$\perp$	Ш	
				of PERSONAL INFORMAT	ION ACT 4 OF 2013 ("Pol	PIA") AND	D REGULA	_						Compliance Moni	toring Piz	in					
Regulatory Regulatory Provision	y Universe pretation of Section (Risk		Factors Consequences (Risk	Control Environm  Existing Controls	ent (Risk Monitoring)  Additional Controls	Ris	k Rating (I	Risk Level	t Risk)	Additional detail	Responsible Parti	er Time Ine	Responsible Party	Monitor Method	Arrasity	lant are said	Freque	ency of Te:	sting	Dully	Adhes
PoPIA: 12, 14, 15 Application and interpretation of the	PoPIA applies to the processing of PI recorded by automated or non-automated means by or	The recordinging of PL. The filling	Internstification The recorded PI. Domicile of the processor. Other legislation that regulate the processing of PI.	The filing system. Notication to client. The client's consent. The Authorisation by the Regulator.	The means of processing. Other					Reasons for level  PoPIA is almed at facilitating the protection of the right to privacy Including the right of protection of PI. The danger of invading a person's privacy and the abuse of PI are risks associated with PII. PoPIA balances	Legal			The filing system. Client's consent. The Regulator's authorisation. A determination of an adjudicator. Recorded 81 by automated or non-							
Act; Lawful processing; Rights of data subjects.	o.b.o. a law firm. The recorded Pi processed by non-automated	and recording. The collection, access or acquisition of PL. Holding PI of the client. The	The conditions for the processing of PI. The acquisition	A determination of an adjudicator. The appointment	processing of Pl. The GDPR. information technology. Ongoing review of the	0	۰	0	LOWRISK	the rights of protection of PI against other legislative and constitutional rights, in particular the right of access to information. Legal practitioners	Practitioner/Key Individual	Ongoing	Legal Practitioner	automated means. Other legislation that regulate the processing of PI.  The information management and security system.			×				×
PoPIA: s 8, s 9, s 10, s 11; Regulations: r 2 Responsible party to ensure conditions for lawful processing:	The law firm must ensure that the conditions for processing PI are compiled with at the time of the determination of the	The conditions for processing PI. The manner of processing. The legitimate interest of the data subject. The conclusion of a	The privacy of the client. The purpose of processing. Processing excessive information. The withdrawal of	Data subject's consent. The objection to the processing of PLAssistance to make an	Legislation providing for processing. Perfformance of public duty. E-communication.	0	۰	٥	LOWRISK	The GDPR etipulates that personal data should be processed lawfully, fairly and in a transparent manner in relation to the data subject. The client is entitled to know how information is being processed; and be in a position to determine whether they are prepared to allow their	Legal Practitioner/Key	Ongoine	Legal Practition**	Data subject's consent. The objection to the processing of PI. Assistance to make an objection. The contract to which the client is parly. The objection to the processing of PI. Assistance to make an objection. The contract to which the data subject is parly, Legislation			×				×
conditions for lawful processing; Lawfulness of processins; PoPIA: s 12, s 13, s 14; Regulations: r 6	ourpose of the processing and Dispust he collected directly	contract. Consent to the	consent. The unsplicited e- The consent of the client. The	which the client is party.						Information to be processed in the manner contemplated. Processing The law from must collect 81 directly from a client Even where	Practitioner/Key Individual	1		providing for processing. Perfformance of public duty. E-				_	_	_	
Regulations: r 6 Collection directly from data subject; Collection for specific purpose;	from the client, except if the PI is contained in or derived from a public record or has deliberately been made public by the client;	source of collection of PI. The conduct of the proceedings in a court or tribunal. The supply of Pi to a third party. The purpose	maintenance of law. The collection of revenue. The interests of national security. The use of Pi. The accuaracy of	client's consent. The retention of PI records. A contract. Verify the accuracy of the PI. Data subject's request. Destruction	Legal requirement. Restrict processing of Pl. The retention period. The automated processing system. The public interest. The code of conduct.	٥	0	۰	LOWRISK	information is collected from a third party, the client should be made aware of the processing of the information and the purpose for which he information has been collected, values the law firm was justified in not making the client aware of the purpose for which the information.	Legal Practitioner/Key Individual	Ongoing	Legal Practitioner	A contract. Verify the accuracy of the PI. Data subject's request.  Destruction or deletion of the record of PI or de-identify PI. Proof of			×				×
Retention and nestriction of records; PoPIA: s 15, s 16 s 17 Further processing to be compatible	been made public by the client; Further processing of PI must be in accordance with the purpose for which it was collected.	Pi to a third party. The purpose The purpose for processing. The nature of the information processed. The manner in which	The use of Pi. The accuaracy of The rights between the parties. Prejudice to the maintenance of the law. The collection of	subject's request. Destruction Consent by the client. Record of accurate and updated information. Maintain the	The public record. The					not making the client aware of the purpose for which the information.  The further processing of any PI must be compatible with the purpose for which it was initially collected. The law firm must take into account.	Legal			artomazon. The authority to retain the record of the IVI. The processing system. The processing system. Prescribed period. The reference of PI Consent by the client. Record of accurate and updated information. Makintain the documentation of all processing operation. The public record. The seamption granted. Compatability. The mandale and Power of Attorney. The information security safeguarding system.				+	$\dashv$	$\dashv$	_
with the purpose of collection; Quality of information; Documentation.	Processing will be compatible if there is a relationship between	the information has been collected. Consent to the further	revenue. Threat to national security, public health or safety	documentation of all processing operations.	esemption granted. Compatability. Maintain electronic information. The IT system.	0	۰	۰	LOWRISK	The further processing of any FI resut be compatible with the purpose for which it was visitally collected. The law firm must take into course the relationship between the purpose for which the information was originally collected and the intended purpose of any further processing should the client object, any further processing of the information for	Practitioner/Key Individual	Ongoing	Legal Practitioner			_	×	_			×
PoPIA: s 18 Notification to data subject when collecting PI	Before collecting PI directly from the client, law firms must ensure	Awamess of the data subject.	Failure to provide information. The level of protection afforded	Notiffaction of breach to the	The source of information. The complaint. Notifucation of the IR. The court proceedings.	0		0	LOWRISK	The failure to notify processing subject to prior authorisation	Legal Practitioner/Key	Ongoine	Legal Practitioner	Notification to the client. The consent of the client. The legal obligation of collection. Access to information. The use of information. The source of information. The complaint. The contact details of the IR. The court		П	×	T	Т	٦	×
PoPIA: s 19, s 20, s 21, s 22	information being collected, and where information is not A law firm must secure the	The source from which Pi is collected. The purpose for which the information is collected. The mandatory supply of The implementation of safeguands. The generally accepted information security.	access to and the right to rectify the information. A complaint to	The legal obligation of collection. Access to information.  Regularly verify and update antenuoris number tide.	Authorisation.					consent to non-compliance if the data subject is not identifiable and in certain instances, public and security interests. Where PI has been The law firm must ensure that PI of clients in its possession or under its	Practitioner/Key Individual			proceedings.				_	_		
Security measures on integrity and confidentiality of personal information;	information being collected, and where information is not A law firm must secure the integrity and confidentiality of Pi in its possession or under its control, and must take		The integrity and confidentially of PI. The unlawful access to or processing of PI. loss, destruction or damage. The	dentified. Specific industry or professional rules.	Generally accepted information security practices and procedures. The Regulator's	0	۰	۰	LOWRISK	constitutes an offence. The purpose of notification to clear it to ensure management of the control of the con	Legal Practitioner/Key Individual	Ongoing	Legal Practitioner	Regularly weelly and update safeguards against risks dentified. Specific industry or professional risks. Authorisation. Confidentiality, A contract between the law from and the operator. The law from information system. The notification in writing. The Regulator's direction. Generally			×				×
Information processed by operator or PoPIA: s 22, s 24, s 24; Regulations: r 2	A client who has provided adequate proof of identity, has	processed by an operator, Legal Proof of identity, Holding PI about the client. The identity of	disclosure of PI. Data security. Access to the information. The record or description of PI. The	Authorisation. A contract The record or a description of the PL. A request for access, A	direction. Court order. Website The acknowledgement of receipt of the request.					tanguaring the integrity of the FI should be employed. Intermation security standards have developed and are now receptived as The client has the right to request the law firm to confirm whether the law firm holds FI about the client. The client may request the law firm to provide it with a description of the Plad by it or by a tind park, Amy fees charged for providing the client with the information required shall have been supported by the client with the information required shall the charged for providing the client with the information required shall the charged for providing the client with the information required shall the charged for providing the client with the information required shall the charged for providing the client with the information required shall the charged for the charged shall be a second or the charged shall the charged for the charged shall be considered as the charged shall the charged shall be charged shall be charged as the charged shall the charged shall be charged shall be charged as the charged shall be charged as the charged shall the charged shall be	Legal			system. In a conscision in wrang. The segments reduced, universally accepted information security practices and pracedures. The The record or a description of the PLA request for access, A request for correction or deletion of PL, Written estimate of the Fee. Change to the information. Neighborship of the information. Neighborship of the information. The agreement between the law firm and processing the contraction of the information. The agreement between the law firm and					$\dashv$	$\dashv$	
Regulations: r 3 Access to Pt; Correction of Pt; Request for correction or deletion of	the right to request a law firm to confirm whether or not the firm	the third parties. A request for access. The correct, delete or	manner and format of the record or PI. Disclosure of any	request for correction, destruction or deletion of PL	Indication for correction.  Completion of the Form 2. Link the Di in discrete i periodition.	0	0	۰	LOWRISK	provide it with a description of the PI held by it or by a third party. Any fees charged for providing the client with the information required shall not be excessive. The law firm should also advice the client that the PI	Practitioner/Key Individual	Ongoing	Legal Practitioner	the information. Notification to client. Documentary evidence in support of the information. The agreement between the law firm and the client. Authority to retain. The acknowledgement of receipt of the			×				×
PoPIA: a SS, a SS; Regulations: r 4 Duties and responsibilities of	holds PI about the client: and An information officer's responsibilities include the encouragement of compliance with the conditions for the	destroy information. The The encouragement of compliance. The requests made persuant to PoPIA. The powers and duties conferred on the IO.	Information. Inaccurate.  The prescribed compliance requirements. Access to information. Investigations conducted. Internal awareness.	Witten estimate of the fee.  The registration of the IO. The requests for access to information. The compliance framework. Impact assessment.	The request for a manual. Regulations codes, information from the Regulator. The Regulator's determination.	0	۰	0	LOWRISK	not be excessive. The law firm should also advise the client that the PI One of the primary functions of the ID is the except, proceeding and determining whether access to information half by the law firm should be granted. The mechanisms for requests for access to information should be extilabled to exessive that nequests for access to information	Legal Practitioner/Key	Ongoine	Legal Practitioner	the disert. Authority to statin. The acknowledgement of receipt of the The registration of the 10. The requests for access to information. The compliance framework. Impact assessment. Processes developed. The manual developed. Processing systems. Requests for access to information. Aucresess sessions. Regulations code, information from			×	T			×
Information Officer; Designation and delegation of deputy PoPLA: s72	Iswful processing of PI; dealing				Assistance of a third party.						Individual	1						_	$\dashv$	$\dashv$	
Transfers of PI outside Republic.	not transfer PI about a client to a third party who it in a foreign	flows. The conditions for the lawful processing of PI of the client. The performance of a	The level of protection of the PI of a client. The further transfer of PI. The consent of the data subject. Cloud computing, inability to obtain consent. A breach of a provision of	The request to transfer information. Consent of the client. A contract between the client and the law firm.	Reasonable processing. Foreign legislation, binding corporate rules, or binding agreement. Cloud computing monitoring.	٥	۰	٥	LOWRISK	The transfer of this countries that do not have adequate but by protein the information is prohibited. In determining adequacy, account must be taken of the rias of law effort for fundamental rights and freedoms and relevant legislation protecting the privacy of PI, the existence and effective functioning of an independent supervisory authority and Failure to comply with the code of conduct is deemed to be a breach of	Legal Practitioner/Key Individual	Ongoing	Legal Practitioner	between the client and the law firm. The request to transfer information. Consent to the transfer of PI. The determination by the Regulator. Reasonable processing. Foreign legislation, binding corporate			×				×
PoPIA: s 68, s 73, s 74, s 82, s 99, s 100, s 101, s 102, s 103, s 104, s 105, 107, s 109		The trans-bonder information flows. The conditions for the lawful processing of Pi of the client. The performance of a contract between the client and Complying with the code. The processing of Pi. Centrawening the lawful conditions for the processing of Pi. Fallure to notify a security constroning. The processing of Pi. Fallure to notify a security constroning.	inability to obtain consent.  A breach of a provision of PoPIA. The protection of the PI of a client. Search and selsure.	The code of conduct. Documents, books or	The notice issued. Court processes. An exemption granted. The direction by the					effective functioning of an independent supervisory authority and Failure to compily with the code of conduct it deemed to be a breach of the Conditions of Issuell processing of Pl and is subject to the seforcement provisions of PoPIA. Failure to comply with an	Legal Drarfilinour/New	l.		this Regulation. A few determinant by the regulator. The mechanism for the request to transfer information, Consecred the diseast. A context to between the Center and the blazo Mrs. A contraction between the Center and the blazo Mrs. The request to tronder downstation. Consecred the Internation of The Assessment to Center and Ce					$\dashv$	$\dashv$	_
		the lawful conditions for the processing of PL Fallure to notify a security compromise. The	of a client. Search and selsum. Consent of the client. Interference with protection of	Documents, books or processing equipment. The material or equipment used for the processing. Protection of	granted. The direction by the Regulator, the adjudicator's determination.	0	•	0	LOWRISK	conditions for the processing of PI in so far as they relate to an account	Practitioner/Key Individual	Ongoing	Legal Practitioner	notice. An exemption granted. The material or equipment used for the processing. The direction by the Regulator. The determination by an adjudicator. Search warrant, summons issued and court processes.			×				×
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