

### Promotion of Access to Information Manual Private Body

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#### A. INTRODUCTION

Stockdale Street is a registered financial services provider. The Company was established in 2003 and advises on Private Equity investments in a broad range of business in various industries.

The purpose of this Manual is to assist persons wishing to access information in terms of the Promotion of Access to Information Act, no 2 of 2000 (“the Act”), promulgated in March 2001 from Stockdale Street (Pty) Ltd.

This manual is not exhaustive, nor does it comprehensively deal with every procedure provided for in the Act. Requesters are therefore advised to familiarize themselves with the provisions of the Act.

#### B. COMPANY CONTACT DETAILS

##### Business address:

13 Baker Street  
Rosebank  
2196

##### Postal Address:

Suite 164  
Private Bag X31  
Saxonwold  
2132

##### Contact Person:

Tamryn Grobbelaar  
Tel: (010) 035 4672

email: [tamryn.grobbelaar@stockdalestreet.co.za](mailto:tamryn.grobbelaar@stockdalestreet.co.za)

##### Information officer:

James Andrew Teeger (Director) is the head of the organization and the appointed Information Officer for the purposes of this manual.

## SECTION C

### GUIDE ON HOW TO USE THE ACT (SECTION 10)

1. In terms of section 10 of the Promotion of Access to Information Act 2 of 2000 as amended by the Protection of Personal Information Act 4 of 2013, the South African Human Rights Commission has published a guide containing information relating to:
  - obtaining access to a record of a private body and the assistance that is available from the South African Human Rights Commission (“SAHRC”) and/or the Information Regulator in this regard (“IF”);
  - lodging a court application against a decision by the head of a private body;
  - the fees that are payable for accessing a record; and
  - the voluntary disclosure of information by private bodies.
  
2. The contact details of the South African Human Rights Commission are as follows:

PAIA Unit  
The Research and Documentation Department  
Postal Address: Private Bag 2700, Houghton 2041  
Telephone: +27 11 484 8300  
Facsimile: +27 11 484 0582

Website: [www.sahrc.org.za](http://www.sahrc.org.za)  
E-mail: [paia@sahrc.org.za](mailto:paia@sahrc.org.za)
  
3. The contact details of the Information Regulator are as follows:

Information Regulator  
The Research and Documentation Department  
Postal Address: P.O. Box 31533, Braamfontein, Gauteng, 2017  
Telephone: +27 10 023 5200  
Website: [justice.gov.za](http://justice.gov.za)

E-mail (complaints): [complaints.IR@justice.gov.za](mailto:complaints.IR@justice.gov.za)  
E-mail (general enquiries): [infoereg@justice.gov.za](mailto:infoereg@justice.gov.za)
  
4. Section 51(1) (c)<sup>1</sup> provision requires a private body to compile and make available a manual
  
5. Records that may be available in terms of any other legislation Section 51(1)(d)<sup>2</sup>, unless disclosure is likely to cause harm to the commercial or financial interest of the company. (Please note that this is not an exhaustive list):
  - Basic Conditions of Employment Act 75 of 1997
  - Companies Act 61 of 2008
  - Compensation for Occupational Injuries and Diseases Act 130 of 1993
  - Competition Act 89 of 1998
  - Consumer Protection Act 68 of 2008
  - Copyright Act 61 of 1978
  - Currency and Exchange Act 9 of 1933
  - Electronic Communications and Transactions Act 25 of 2002
  - Employment Equity Act 55 of 1998
  - Financial Advisory and Intermediary Services Act 37 of 2002
  - Financial Intelligence Centre Act 38 of 2001
  - Financial Markets Act 19 of 2012
  - Income Tax Act 58 of 1962
  - Intellectual Property Laws Amendments Act 38 of 1997
  - Labour Relations Act 66 of 1995
  - Occupational Health and Safety Act 85 of 1993
  - Prevention and Combating of Corrupt Activities Act 12 of 2004

<sup>1</sup> Section 51(1)(c) of PAIA- The head of a private body must make available a manual containing the description of the information listed in above.

<sup>2</sup> Section 51(1)(d) of PAIA- a description of the records of the body which are available in accordance with any other legislation

- Protected Disclosures Act 26 of 2000
- Protection of Investment Act 22 of 2015
- Protection of Personal Information Act 4 of 2013
- Securities Transfer Tax Act 25 of 2007
- Skills Development Act 97 of 1998
- Skills Development Levies Act 9 of 1999
- Tax Administration Act 28 of 2011
- Unemployment Insurance Contributions Act 4 of 2002
- Value Added Tax Act 89 of 1991

## SECTION D

### COMPANY INFORMATION SECTION 51(1)(E)

- The granting of access to certain records in respect of categories listed below may be made available in terms of other Legislation.
- The granting of access to certain records requested by a requester does not automatically entitle that requester access thereto as certain grounds for refusal are available as set out in the Act.

#### 1. Incorporation documents

- Memorandum of Incorporation

#### 2. Constitution of company

- Company statutory register
- Register of directors, officers and auditors
- Share register
- Minute of Meetings
- Agreements

#### 3. Finance and taxation

- Operational information
- Accounting records
- Annual Financial Statements
- Bank Statements
- Asset Register
- Invoices/Credit notes
- Income Tax
- Value Added Tax ("VAT")

#### 4. Investment

- General
- Agreements
- Trading Records
- Investment management advice

#### 5. Human Resources

- Employment Contracts
- Salary records
- Leave records
- Training records
- Operational information

#### 6. Regulatory

- Licenses
- Policies and Manuals

#### 7. Insurance

- General
- Administrative Information

## SECTION E

### ACCESS TO INFORMATION OF PRIVATE BODY

1. The manual will be available on the website [www.stockdalestreet.co.za](http://www.stockdalestreet.co.za) and at the company's address as stated in section B of this document. Also available from the SAHRC.
2. Request for Access of Information to a record as contemplated in section 53(1)<sup>3</sup> of the Act must substantially correspond with Form 2, Annexure A of the Regulations as published in the Government Gazette, attached. Request to be addressed to Information's Officer stated in section B of this document. If a request for access to a record is granted or refused, the information officer must inform the requester of the outcome on a form that corresponds with Form 3 of Annexure A, attached.
3. The requester must provide sufficient details on the request form to enable the Information Officer to identify the record and the requester. The requester should also indicate which form of access is required. The requester should also indicate if he or she wishes to be informed in any other manner and state the necessary particulars to be so informed.
4. The requester must identify the right that is sought to be exercised or to be protected and provide explanation of why the record is being requested.
5. Request on behalf of a 3<sup>rd</sup> party by a requester, must provide proof of capacity in which request is made.
6. The fee for private bodies is R140.00 The requester may lodge an internal appeal or an application to the court against the tender or payment of the requested fee.
7. If the request is granted then a further access fee must be paid for the reproduction and the search and preparation, and for any time that has exceeded the prescribed hours to search and prepare the record for disclosure.
8. Fees
  - 8.1 Fees for reproductions in terms of section 52(3)<sup>4</sup> of the Act are prescribed in Annexure B of the Regulations as published in the Government Gazette, attached.
  - 8.2 The request fee payable by a requester, other than a personal requester, referred to in section 54(1)<sup>5</sup> of the Act is prescribed in Annexure B of the Regulations as published in the Government Gazette, attached.
  - 8.3 The access fee payable by a requester referred to in section 54(7)<sup>6</sup>, unless exempted under section 54(8)<sup>7</sup>, of the Act are prescribed in Annexure B of the Regulations as published in the Government Gazette, attached.

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<sup>3</sup> Section 53(1) of PAIA- A request for access to a record of a private body must be made in the prescribed form to the private body concerned at its address, fax number or electronic mail address.

<sup>4</sup> Section 52(3) of PAIA-. The only fee payable (if any) for access to a record described in a list so published is a prescribed fee for reproduction

<sup>5</sup> Section 54(1) of PAIA- The head of a private body to whom a request for access is made must by notice require the requester, other than a personal requester, to pay the prescribed request fee (if any), before further processing the request

<sup>6</sup> Section 54(7) of PAIA- Access fees prescribed for the purposes of subsection (6) must provide for a reasonable access fee

<sup>7</sup> Section 54(8) of PAIA- The Minister may, by notice in the Gazette—

(a) exempt any person or category of persons from paying any fee referred to in this section;

(b) determine that any fee referred to in this section is not to exceed a certain maximum amount; 15

(c) determine the manner in which any fee referred to in this section is to be calculated;

(d) determine that any fee referred to in this section does not apply to a category of records;

(e) exempt any person or record or category of persons or records for a stipulated 20 period from any fee referred to in subsection (6); and

(f) determine that where the cost of collecting any fee referred to in this section exceeds the amount charged, such fee does not apply.

# ANNEXURE A

## FORM 2

### REQUEST FOR ACCESS TO RECORD

[Regulation 7]

**NOTE:**

1. Proof of identity must be attached by the requester.
2. If requests made on behalf of another person, proof of such authorisation, must be attached to this form.

**TO:** The Information Officer


(Address)

E-mail address:

Fax number:

Mark with an "X"

Request is made in my own name person.

Request is made on behalf of another

PERSONAL INFORMATION			
Full Names			
Identity Number			
Capacity in which request is made ( <i>when made on behalf of another person</i> )			
Postal Address			
Street Address			
E-mail Address			
Contact Numbers	Tel. (B):		Facsimile: <input type="text"/>
	Cellular:		
Full names of person on whose behalf request is made ( <i>if applicable</i> ):			
Identity Number			
Postal Address			

Street Address			
E-mail Address			
Contact Numbers	Tel. (B)		Facsimile
	Cellular		

**PARTICULARS OF RECORD REQUESTED**

*Provide full particulars of the record to which access is requested, including the reference number if that is known to you, to enable the record to be located. (If the provided space is inadequate, please continue on a separate page and attach it to this form. All additional pages must be signed.)*

Description of record or relevant part of the record:	

Reference number, if available	
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Any further particulars of record	

**TYPE OF RECORD**  
*(Mark the applicable box with an "X")*

Record is in written or printed form	
Record comprises virtual images <i>(this includes photographs, slides, video recordings, computer-generated images, sketches, etc)</i>	
Record consists of recorded words or information which can be reproduced in sound	
Record is held on a computer or in an electronic, or machine-readable form	
Printed copy of record <i>(including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form)</i>	
Written or printed transcription of virtual images <i>(this includes photographs, slides, video recordings, computer-generated images, sketches, etc)</i>	
Transcription of soundtrack <i>(written or printed document)</i>	
Copy of record on flash drive <i>(including virtual images and soundtracks)</i>	

Copy of record on compact disc drive( <i>including virtual images and soundtracks</i> )	
Copy of record saved on cloud storage server	
<b>MANNER OF ACCESS</b> <i>(Mark the applicable box with an "X")</i>	
Personal inspection of record at registered address of public/private body ( <i>including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form</i> )	
Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format ( <i>including transcriptions</i> )	
E-mail of information ( <i>including soundtracks if possible</i> )	
Cloud share/file transfer	
Preferred language <i>(Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available)</i>	

<b>PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED</b>	
<i>If the provided space is inadequate, please continue on a separate page and attach it to this Form. The requester must sign all the additional pages.</i>	
Indicate which right is to be exercised or protected	
Explain why the record requested is required for the exercise or protection of the aforementioned right:	
<b>FEES</b>	
a) <i>A request fee must be paid before the request will be considered.</i>	
b) <i>You will be notified of the amount of the access fee to be paid.</i>	
c) <i>The fee payable for access to a record depends on the form in which access is required and the reasonable time required to search for and prepare a record.</i>	
d) <i>If you qualify for exemption of the payment of any fee, please state the reason for exemption</i>	
Reason	

You will be notified in writing whether your request has been approved or denied and if approved the costs relating to your request, if any. Please indicate your preferred manner of correspondence:

Postal address	Facsimile	Electronic communication <i>(Please specify)</i>

Signed at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 20  
\_\_\_\_\_

\_\_\_\_\_  
***Signature of Requester / person on whose behalf request is made***

**FOR OFFICIAL USE**

<i>Reference number:</i>	
<i>Request received by: (State Rank, Name And Surname of Information Officer)</i>	
<i>Date received:</i>	
<i>Access fees:</i>	
<i>Deposit (if any):</i>	

\_\_\_\_\_  
***Signature of Information Officer***



## FORM 3

### OUTCOME OF REQUEST AND OF FEES PAYABLE

[Regulation 8]

1. If your request is granted the—
  - (a) amount of the deposit, (if any), is payable before your request is processed; and
  - (b) requested record/portion of the record will only be released once proof of full payment is received.
2. Please use the reference number hereunder in all future correspondence.

Reference number: \_\_\_\_\_

TO: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Your request dated \_\_\_\_\_, refers.

**1. You requested:**

Personal inspection of information at registered address of public/private body ( <i>including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form</i> ) is free of charge. You are required to make an appointment for the inspection of the information and to bring this Form with you. If you then require any form of reproduction of the information, you will be liable for the fees prescribed in Annexure B.	
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OR

**2. You requested:**

Printed copies of the information ( <i>including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form</i> )	
Written or printed transcription of virtual images ( <i>this includes photographs, slides, video recordings, computer-generated images, sketches, etc</i> )	
Transcription of soundtrack ( <i>written or printed document</i> )	
Copy of information on flash drive ( <i>including virtual images and soundtracks</i> )	
Copy of information on compact disc drive ( <i>including virtual images and soundtracks</i> )	
Copy of record saved on cloud storage server	

**3. To be submitted:**

Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format ( <i>including transcriptions</i> )	
E-mail of information ( <i>including soundtracks if possible</i> )	
Cloud share/file transfer	
Preferred language: ( <i>Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available</i> )	

Kindly note that your request has been: Approved

Denied, for the following reasons:

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**4. Fees payable with regards to your request:**

Item	Cost per A4-size page or part thereof/item	Number of pages/items	Total
Photocopy			
Printed copy			
For a copy in a computer-readable form on:			
(i) Flash drive	R40.00		
• To be provided by requestor			
(ii) Compact disc	R40.00		
• If provided by requestor	R60.00		
• If provided to the requestor			
For a transcription of visual images per A4-size page	Service to be outsourced. Will depend on the quotation of the		
Copy of visual images	service provider		
Transcription of an audio record, per A4-size	R24.00		
Copy of an audio record			
(i) Flash drive	R40.00		
• To be provided by requestor			
(ii) Compact disc	R40.00		
• If provided by requestor	R60.00		
• If provided to the requestor			
Postage, e-mail or any other electronic transfer:	Actual costs		
<b>TOTAL:</b>			

**5. Deposit payable (if search exceeds six hours):**

Yes

No

Hours of search	Amount of deposit <i>(calculated on one third of total amount per request)</i>

The amount must be paid into the following Bank account:

Name of Bank: \_\_\_\_\_  
 Name of account holder: \_\_\_\_\_  
 Type of account: \_\_\_\_\_  
 Account number: \_\_\_\_\_  
 Branch Code: \_\_\_\_\_  
 Reference Nr: \_\_\_\_\_  
 Submit proof of payment to: \_\_\_\_\_

Signed at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_

\_\_\_\_\_  
**Information officer**

## ANNEXURE B

### Fees

#### FEES IN RESPECT OF PRIVATE BODIES

	Description	Amount
1.	The request fee payable by every requester	R140.00
2.	Photocopy/printed black & white copy of A4-size page	R2.00 per page or part thereof.
3.	Printed copy of A4-size page	R2.00 per page or part thereof.
4.	For a copy in a computer-readable form on: (i) Flash drive (to be provided by requestor) (ii) Compact disc • If provided by requestor • If provided to the requestor	R40.00 R40.00 R60.00
5.	For a transcription of visual images per A4-size page	Service to be outsourced.
6.	Copy of visual images	Will depend on quotation from Service provider.
7.	Transcription of an audio record, per A4-size page	R24.00
8.	Copy of an audio record on: (i) Flash drive (to be provided by requestor) (ii) Compact disc • If provided by requestor • If provided to the requestor	R40.00 R40.00 R60.00
9.	To search for and prepare the record for disclosure for each hour or part of an hour, excluding the first hour, reasonably required for such search and preparation. To not exceed a total cost of	R145.00 R435.00
10.	Deposit: If search exceeds 6 hours	One third of amount per request calculated in terms of items 2 to 8.
11.	Postage, e-mail or any other electronic transfer	Actual expense, if any."