

ITRANSACT FUND MANAGERS (RF) (PTY) LTD ("IFM") PROMOTION OF ACCESS TO INFORMATION ACT

1. Introduction

This Manual has been compiled in accordance with the Promotion of Access to Information Act 2 of 2000 ("the Act"). It is intended to give a description of the records held by and on behalf of IFM; to stipulate grounds for refusal of access to any such records; to outline the procedure to be followed and the fees payable when requesting access to any of these records in the exercise of the right of access to information; with a view of enabling requestors to obtain records which they are entitled to in a quick, easy and accessible manner.

2. Contact Details

Information Officer: Mark Baisley
Deputy Information Officer: Curtis McBride
Phone Number: 011 561 6600
Fax Number: 011 388 1182
Email Address: IOfficer@aospartner.com / compliance@aospartner.com

Physical Address: 28 Peter Place
Lyme Park
Sandton
2060

Postal Address: P.O. Box 4769
Randburg
2125

Website: www.itransactfm.co.za

3. Section 10 Guide

The Guide will be available at our offices, and provides greater clarity on or assistance with the Act. It will, inter alia, include the following:

- The object of this Act;
- The relevant contact details of the Information Officer of each public and private body;
- Particulars of every private body as re practicable.
- The process that needs to be followed in order to request access to records;
- The assistance available from the information officer of a public body and the SAHRC;
- How to obtain access to a manual of a public and private body;
- All the remedies available in law to you;
- Details on prescribed fees payable in respect of requests for information.

The guide has been compiled and contains such information, in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in the Act.

See Annexure A for the Section 10 PAIA guide

Please direct any queries to:

The Information Regulator

Physical Address Woodmead North Office Park,
54 Maxwell Drive
Woodmead
Johannesburg
2191

Postal Address: PO Box 31533
Braamfontein
2017

Website: <https://eservices.inforegulator.org.za>

Email Address: enquiries@inforegulator.org.za

4. Types of Records Available

4.1. Records Available in Terms of Other Legislation

See **Annexure B** for details on the Availability of Records.

- Basic Conditions of Employment Act
- Collective Investment Schemes Control Act
- Companies Act
- Compensation for Occupational Injuries & Diseases Act
- Consumer Protection Act
- Copyright Act
- Electronic Communications and Transactions Act
- Employment Equity Act
- Financial Advisory & Intermediary Services Act
- Financial Intelligence Centre Act
- Income Tax Act
- Labour Relations Act
- Occupational Health & Safety Act
- Pension Funds Act
- Promotion of Access to Information Act
- Protection of Constitutional Democracy against Terrorist and Related Activities Act

- Trademarks Act
- Tax Administration Act
- South African Reserve Bank Act
- Unemployment Insurance Act
- Value Added Tax Act

4.2. Records Available on Request

4.2.1. Human Resources Records

These are records of any person who works for or provides services to or on behalf of IFM and receives or is entitled to receive remuneration and any other person who assists in carrying out or conducting the business of IFM and includes, without limitation, Directors (executive and non-executive), all permanent, temporary and part-time staff, as well as contract workers.

- Personal records provided by personnel;
- Records provided by a third party relating to personnel;
- Conditions of employment and other personnel-related contractual and quasi-legal records;
- Internal evaluation records and other internal records;
- Correspondence relating to personnel; and
- Employment equity plan and
- Training schedules and material.

4.2.2. Client Related Records

Client records include the following:

- Records provided by the client to a third party acting for or on behalf of the private body;
- Records provided by a third party to the private body;
- Records generated by or within the private body pertaining to the client including transactional records.

4.2.3. Company Records

These records include, but are not limited to, the records which pertain to IFM' own affairs:

- Financial records;
- Operational records;
- Databases;
- Information technology;
- Marketing records;

- Internal correspondence;
- Records relating to products and services;
- Statutory records;
- Internal policies and procedures;
- Treasury related records;
- Securities and equities; and
- Records held by officials of the private body.

These records include, but are not limited to, the records which pertain to our own affairs.

4.2.4. Other Parties

These are records pertaining to other parties, including without limitation, contractors, suppliers, subsidiary/holding companies, joint venture companies, service providers and other financial services providers. Alternatively, such other parties may possess records that can be said to belong to the organisation.

These records include, but are not limited:

- Service level agreements
- Correspondence
- Records provided during due diligence

Personnel, client and other records relating to IFM which are held by another party, as opposed to the records held by IFM itself.

Alternatively, such other parties may possess records which can be said to belong to the FSP including without limitation to the following records fall under this category:

- Financial records
- Personnel, client or FSP records which are held by another party
- Records held by FSP pertaining to other parties, including without limitation:
 - Correspondence;
 - Contractual records;
 - Records provided by the other party and
 - Records third parties have provided about the contractors/suppliers.

4.3. Records Available Automatically

The records below can be obtained from www.itransactfm.co.za.

- FSP License;
- Complaints Policy; and
- Conflict of Interest Management Policy.

5. Procedure to Request Access to Information

Records held by IFM may be accessed by requests only once the prerequisite requirements for access have been met. IFM recognises two types of Information:

5.1. Personal Requester

A personal requester is a requester who is seeking access to a record containing personal information about the requester. IFM will voluntarily provide the requested information or give access to any record with regard to the requester's personal information. The prescribed fee for reproduction of the information requested will be charged.

5.2. Other Requester

This requester (other than a personal requester) is entitled to request access to information on third parties. However, IFM is not obliged to voluntarily grant access. The requester must fulfil the prerequisite requirements for access in terms of the Act, including the payment of a request and access fee.

5.3. Request Process

- a) The requester must comply with all the procedural requirements contained in the Act relating to the request for access to a record.
- b) A requester requiring access to information held by IFM must complete the prescribed form, **Annexure C**, enclosed herewith and also available upon request or on the website. The completed form must be submitted to the Information Officer at the postal or physical address, fax number or electronic mail address recorded in paragraph 2 above and pay a request fee and a deposit, if applicable.
- c) The prescribed form must be completed with enough particularity to at least enable the Information Officer to identify:
 - The record or records requested;
 - The identity number of the requester;
 - The form of access required, if the request is granted;
 - The postal address or fax number of the requester.
- d) The requester must also state that he requires the information in order to exercise or protect a right, and clearly state the nature of the right to be exercised or protected. In addition, the requester must clearly specify why the record is necessary to exercise or protect such a right.
- e) IFM will process the request within 30 days, unless the requester has stated special reasons which would satisfy the Information Officer that circumstances dictating that the above time periods not are complied with.

- f) The requester will be informed in writing whether access has been granted or denied. If, in addition, the requester requires the reasons for the decision in any other manner, he must state the manner and the particulars so required.
- g) If a request is made on behalf of another person, then the requester must submit proof of the capacity in which the requester is making the request to the reasonable satisfaction of the Information Officer.
- h) If an individual is unable to complete the prescribed form because of illiteracy or disability, such a person may make the request orally.
- i) The requester must pay the prescribed fee, before any further processing can take place.

5.4. Our Response

Within 30 days of receipt of the request, IFM will decide whether to grant or decline the request and give notice with reasons (if required) to that effect.

The 30 day period within which IFM has to decide whether to grant or refuse the request, may be extended for a further period of not more than 30 days if the request is for a large amount of information, or the request requires a search for information held at another office of IFM or a third party off-site storage facility and the information cannot reasonably be obtained within the original 30 day period. The Information Officer will notify the requester in writing should an extension be sought.

An outcome of the request will be provided as per **Annexure E**.

5.5. Grounds for Refusal of Access to Records

A request for information may be refused on the following basis:

1. Mandatory protection of the privacy of a third party who is a natural person, which would involve the unreasonable disclosure of personal information of that natural person.
2. Mandatory protection of the commercial information of a third party, if the record contains:
 - Trade secrets of that third party;
 - Financial, commercial, scientific or technical information which disclosure could likely cause harm to the financial or commercial interests of that third party; and
 - Information disclosed in confidence by a third party to IFM, if the disclosure could put that third party at a disadvantage in negotiations or commercial competition.
3. Mandatory protection of confidential information of third parties if it is protected in terms of any agreement or legislation.
4. Mandatory protection of the safety of individuals and the protection of property.

5. Mandatory protection of records which would be regarded as privileged in legal proceedings.
6. The commercial activities of IFM, which may include:
 - Trade secrets;
 - Financial, commercial, scientific or technical information which disclosure could likely cause harm to the financial or commercial interests of IFM;
 - Information which, if disclosed, could put IFM at a disadvantage in negotiations or commercial competition;
 - A computer program which is owned by IFM and which is protected by copyright.
7. The research information of IFM or a third party, if its disclosure would disclose the identity of the institution, the researcher or the subject matter of the research and would place the research at a serious disadvantage.
8. Requests for information that are clearly frivolous or vexatious, or which involve an unreasonable diversion of resources shall be refused.
9. The request is for access to your Personal Information, and you could not provide adequate proof of identity to us.

5.6. Remedies in the Event of Refusal

5.6.1. Internal Remedies

IFM does not have an internal appeal procedure. The decision made by the Information Officer is therefore final and requesters will have to exercise external remedies at their disposal if the request for information is refused, and the requesters is not satisfied with the response supplied by the Information Officer.

5.6.2. External Remedies

A requester or a third party, who is dissatisfied with an Information Officer's refusal to disclose information, or the disclosed information may within 30 days of notification of the decision, apply to the Constitutional Court, the High Court or another court of similar status for relief or can lodge a complaint with the Information Regulator.

6. Availability of the Manual

The manual is available for inspection at the offices of IFM free of charge; and copies are available on the IFM website www.itransactfm.co.za

7. Fees Payable

The described fees payable can be found under Annexure D.

8. Validity and Document Management

The responsibility for the review of this document lies with the Information Officer as the Document Owner.

This document will be valid from the date of signature until it has been superseded by another document of the same name and later version number or it is removed from circulation by the Information Officer.

ANNEXURE A : SECTION 10 PAIA GUIDE

The Regulator has, in terms of section 10(1) of PAIA, as amended, updated and made available the revised Guide on how to use PAIA (“Guide”), in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in PAIA and POPIA.

The Guide is available in each of the official languages and in braille.

The aforesaid Guide contains the description of-

- the objects of PAIA and POPIA;
- the postal and street address, phone and fax number and, if available, electronic mail address of-
 - o the Information Officer of every public body, and
 - o every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA and section 56 of POPIA ;
- the manner and form of a request for-
 - o access to a record of a public body contemplated in section 11 ; and
 - o access to a record of a private body contemplated in section 50 ;
- the assistance available from the IO of a public body in terms of PAIA and POPIA;
- the assistance available from the Regulator in terms of PAIA and POPIA;
- all remedies in law available regarding an act or failure to act in respect of a right or duty conferred or imposed by PAIA and POPIA, including the manner of lodging-
 - o an internal appeal;
 - o a complaint to the Regulator; and
 - o an application with a court against a decision by the information officer of a public body, a decision on internal appeal or a decision by the Regulator or a decision of the head of a private body;
- the provisions of sections 14 and 51 requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;
- the provisions of sections 15 and 52 providing for the voluntary disclosure of categories of records by a public body and private body, respectively;

- the notices issued in terms of sections 22 and 54 regarding fees to be paid in relation to requests for access; and
- the regulations made in terms of section 92 .

Members of the public can inspect or make copies of the Guide from the offices of the public and private bodies, including the office of the Regulator, during normal working hours.

The Guide can also be obtained-

- upon request to the Information Officer;
- from the website of the Regulator (<https://www.justice.gov.za/infoereg/>).

PAIA grants a requester access to records of a private body, if the record is required for the exercise or protection of any rights. Where a public body lodges a request, the public body must be acting in the public interest.

Requests in terms of PAIA shall be made in accordance with the prescribed procedures at the rates provided.

ANNEXURE B : AVAILABILITY OF RECORDS

The organisation maintains the following categories of records and related subject matter. The status of the record's availability, the purpose for its processing and the relevant data subject category to who the record relates are set out below:

Category:	Record:	Availability:	Purpose:	Data Subject:
Public Affairs	Public Product Information	Freely	Convey Public	Organisation
	Public Corporate Records	Freely	Convey Public	Organisation
	Media Releases	Freely	Convey Public	Organisation
	Published Newsletters	Freely	Convey Public	Organisation
	Magazine Articles	Freely	Convey Public	Organisation
Regulatory & Administrative	Permits, Licenses or Authorities	Freely	Statutory Requirement	Organisation
	Conflict of Interest Management	Freely	Statutory Requirement	Organisation
	Complaints Policy	Freely	Statutory Requirement	Organisation
	FICA Internal Rules	PAIA Request	Statutory Requirement	Organisation
	Health & Safety Plan	PAIA Request	Statutory Requirement	Organisation
	Memorandum of Incorporation	PAIA Request	Statutory Requirement	Organisation
	Minutes of Board or Directors	PAIA Request	Statutory Requirement	Organisation
	Register of Members	PAIA Request	Statutory Requirement	Organisation
	Register of Board of Directors	PAIA Request	Statutory Requirement	Organisation
	Internal correspondence (e-	PAIA Request	Internal	Employees
	Insurance Policies held by	PAIA Request	Risk Management	Organisation
Human Resources	Employment Applications	PAIA Request	Internal Referencing	Employees
	Employment Contracts	PAIA Request	Contractual Agreement	Employees
	Personal Information of Employees	PAIA Request	Internal Referencing	Employees
	Employment Equity Plan	PAIA Request	Statutory Requirement	Organisation
	Medical Aid Records	PAIA Request	Internal Referencing	Employees
	Pension Fund Records	PAIA Request	Internal Referencing	Employees
	Disciplinary Records	PAIA Request	Statutory Requirement	Employees
	Performance Management Records	PAIA Request	Internal Referencing	Employees
	Salary Records	PAIA Request	Internal Referencing	Employees
	Employee Benefit Records	PAIA Request	Internal Referencing	Employees
	PAYE Records	PAIA Request	Statutory Requirement	Employees
	Seta Records	PAIA Request	Statutory Requirement	Employees
	Disciplinary Code	PAIA Request	Statutory Requirement	Organisation
	Leave Records	PAIA Request	Internal Referencing	Employees
	Training Records	PAIA Request	Internal Referencing	Employees
	Training Manual	PAIA Request	Internal Referencing	Organisation

PUBLIC

Category:	Record:	Availability:	Purpose:	Data Subject:
Financial	Financial Statements	PAIA Request	Internal Referencing	Organisation
	Financial and Tax Records	PAIA Request	Statutory Requirement	Organisation
	Asset Register	PAIA Request	Internal Referencing	Organisation
	Management Accounts and Reports	PAIA Request	Internal Referencing	Organisation
	Vouchers, Cash Books and Ledgers	PAIA Request	Internal Referencing	Organisation
	Banking Records and Statements	PAIA Request	Internal Referencing	Organisation
	Electronic Banking Records	PAIA Request	Internal Referencing	Organisation
Marketing	Market Information	PAIA Request	Internal Referencing	Organisation
	Product Brochures	PAIA Request	Internal Referencing	Organisation
	Advertisements	PAIA Request	Internal Referencing	Organisation
	Field Records	PAIA Request	Internal Referencing	Organisation
	Performance Records	PAIA Request	Internal Referencing	Organisation
	Product / Service Sales Records	PAIA Request	Internal Referencing	Organisation
	Marketing Strategies	PAIA Request	Internal Referencing	Organisation
Client Customer	Customer / Client Database	PAIA Request	Internal Referencing	Customers
	Customer / Client agreements	PAIA Request	Internal Referencing	Customers
	Customer / Client Files	PAIA Request	Internal Referencing	Customers
	Customer / Client Instructions	PAIA Request	Internal	Customers
	Customer / Client Correspondence	PAIA Request	External	Customers
Third Party	Rental agreements	PAIA Request	Contractual Agreement	Third Party
	Franchise agreements	PAIA Request	Contractual Agreement	Third Party
	Non-disclosure agreements	PAIA Request	Risk Management	Third Party
	Letters of Intent	PAIA Request	Contractual Agreement	Third Party
	Supplier Contracts	PAIA Request	Contractual Agreement	Third Party

ANNEXURE C: REQUEST FOR ACCESS TO RECORD

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 Request is made on behalf of another person.

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.:		Facsimile:
	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.		Facsimile

PERSONAL INFORMATION

	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	
--------------------------------	--

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	
--	--

FORM OF ACCESS <i>(Mark the applicable box with an "X")</i>	
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	

MANNER OF ACCESS <i>(Mark the applicable box with an "X")</i>	
Personal inspection of record at registered address of 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>	

PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED	
<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:	

FEES	
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: (Name And Surname of Information Officer)</i>	
<i>Date received:</i>	
<i>Access fees:</i>	
<i>Deposit (if any):</i>	

Signature of Information Officer

The following applies to requests (other than personal requests):

- A requester is required to pay a preliminary request fee before a request will be processed.
- If the preparation of the record requested requires more than the prescribed hours (six), an additional deposit shall be paid (of not more than one third of the access fee which would be payable if the request was granted).
- A requestor may lodge an application with a court against the tender / payment of the request fee and/or deposit.
- Records may be withheld until the fees have been paid.

No.	Description	Fee
1.	The request fee payable by every requester	R140.00
2.	Photocopy/printed black & white copy of A4-size page	R2.00
3.	Printed copy of an A4 size page	R2.00
4.	For a copy in a computer-readable form on:	
	i. Flash drive (to be provided by requester)	R40.00
	ii. Compact disc:	
	If provided by requestor	R40.00
	If provided to the requestor	R60.00
5.	For a transcription of visual images per A4-size page	Service to be outsourced
6.	Copy of visual images	
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 requester)	R40.00
	ii. Compact disc:	
	If provided by requestor	R40.00
	If provided to the requestor	R60.00

No.	Description	Fee
9.	<p>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.</p> <p>To not exceed a total cost of</p>	<p>R145.00</p> <p>R435.00</p>
10.	Deposit: If search exceeds 6 hours	One third of amount
11.	Postage, e-mail or any other electronic transfer	Actual expense, if any."

ANNEXURE E: OUTCOME OF REQUEST AND OF FEES PAYABLE

Note:

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 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.	
--	--

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:

--

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	R40.00		
(ii) Compact disc	R60.00		
• If provided by requestor			
• 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 service provider		
Copy of visual images			
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			
• If provided to the requestor	R60.00		
Postage, e-mail or any other electronic transfer:	Actual costs		
TOTAL:			

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