
PAIA MANUAL

PERESEC SOUTH AFRICA PROPRIETARY LIMITED

(including the entities listed herein)

LAST UPDATED: 22 August 2023

THIS MANUAL HAS BEEN PREPARED IN ACCORDANCE WITH
THE PROMOTION OF ACCESS TO INFORMATION ACT NO. 2 OF 2000, AS AMENDED

PERESEC SOUTH AFRICA PROPRIETARY LIMITED

Registration number: 2018/416399/07

(the "**Company**" or "**Peresec**")

This manual applies to Peresec South Africa Proprietary Limited its South African subsidiaries, their divisions, trusts and partnerships in which a Peresec entity is the general partner and partnerships in which a Peresec entity has at least a 50% partnership interest (hereafter collectively referred to as the "**Peresec Group**"). A list of these entities is available on request.

1. INTRODUCTION

The Promotion of Access to Information Act, 2000 (the "**Act**") gives third parties the right to approach private bodies and the government to request information held by them, which is required in the exercise and/or protection of any rights. On request, the private body or government is obliged to release such information unless the Act expressly states that the records containing such information may or must not be released. This manual informs requestors of procedural and other requirements which a request must meet as prescribed by the Act and should be read in conjunction with the Protection of Personal Information Act 4 of 2013.

2. NATURE OF BUSINESS

The Company is a holding company of the Peresec Group which is a financial services group, the core South African operating companies of which are -

- Peresec Prime Brokers Proprietary Limited;
- Peresec Derivatives Proprietary Limited;
- Peresec Fund Platform Proprietary Limited; and
- Peresec SA Nominees Proprietary Limited.

3. CONTACT DETAILS

Name of body	Peresec South Africa Proprietary Limited
Head of body	Tshepo Maseko
Information officer	Kenny Ford
Physical address	9 th Floor, Katherine Towers, 1 Park Lane, Wierda Valley, Sandton, 2196
Postal address	PO Box 55312, Northlands, 2196
Telephone number	+27 11 722 7330
Email address	kennyf@peresec.co.za
Website	www.peresec.com

4. GUIDE OF THE INFORMATION REGULATOR

A guide to the Act (as contemplated under section 10 of the Act) is available from the Information Regulator. The guide contains such information as may reasonably be required by a person who wishes to exercise any right contemplated in the Act. Any enquiries regarding this guide and its contents should be directed to:

The Information Regulator:

Postal Address	PO Box 31533, Braamfontein, 2001
Email	enquiries@info regulator.org.za
Website	www.info regulator.org.za

5. ACCESS TO RECORDS HELD BY THE PERESEC GROUP

Records held by the Peresec Group may be accessed on request only once the requirements for access have been met.

A requester is any person making a request for access to a record of the Peresec Group and in this regard, the Act distinguishes between two types of requesters:

Personal requester

A personal requester is a requester who is seeking access to a record containing personal information about the requester. Subject to the provisions of the Act and applicable law, the Company will 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 by the Company.

Other requester

This requester (other than a personal requester) is entitled to request access to information pertaining to third parties. However, the Company is not obliged to grant access prior to the requester fulfilling the requirements for access in terms of the Act. The prescribed fee for reproduction of the information requested will be charged by the Company.

6. REQUEST PROCEDURE

A requester must comply with all the procedural requirements contained in the Act relating to a request for access to a record.

In order to access any records the requester must complete the prescribed form. The form can be accessed from the Information Officer.

A requester must complete the prescribed form and submit same as well as payment of a request fee and a deposit, if applicable to the Information Officer at the postal or physical address, or electronic mail address stated herein.

The prescribed form must be completed with enough detail to at least enable the Information Officer to identify:

- the record or records requested;
- the identity of the requester;
- what form of access is required; and
- the postal address, e-mail address or fax number of the requester.

A requester must state that he or she requires the information in order to exercise or protect a right, and clearly state what the nature of the right is so to be exercised or protected. The requester must also provide an explanation of why the requested record is required for the exercise or protection of that right.

The Company will process a request within 30 (thirty) days, unless the requester has stated special reasons which satisfy the Information Officer that circumstances dictate that this time period not be complied with and that a shorter time period is appropriate.

The requester shall 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 or she must state the manner and the particulars so required.

If a request is made on behalf of another person, the requester must then submit proof of the capacity in which the requester is making the request to the satisfaction of the Information Officer.

If an individual is unable to complete the prescribed form because of illiteracy or disability, such a person may make the request orally to the Information Officer.

7. DECISION

The Company will, within 30 (thirty) days of receipt of a request, decide whether to grant or decline a request and give notice with reasons (if required) to that effect.

The 30 (thirty) day period within which the Company has to decide whether to grant or refuse a request, may be extended for a further period of not more than 30 (thirty) days if the request is for a large quantity of information or the request requires a search for information held at another office of the Company (other than the head office) and/or the information cannot reasonably be obtained within the original 30 (thirty) day period. The Information Officer will notify the requester in writing should an extension be necessary.

8. FEES

The Act provides for two types of fees:

- a request fee, (which will be a standard fee); and
- an access fee, which must be calculated by taking into account reproduction costs, search and preparation time and cost, as well as postal costs where applicable.

When a request is received by the Information Officer, the Information Officer shall by notice require the requester, other than a personal requester, to pay the prescribed request fee (if any), before further processing of the request. If a search for the record is necessary and the preparation of the record for disclosure; including arrangement to make it available in the requested form, requires more than the hours prescribed in the regulations for this purpose, the Information Officer shall notify the requester to pay as a deposit the prescribed portion of the access fee which would be payable if the request is granted.

The Information Officer shall be entitled to withhold a record until the requester has paid the fee or fees as indicated.

A requester whose request for access to a record has been granted, must pay an access fee for reproduction and for search and preparation, and for any time reasonably required in excess of the prescribed hours to search for and prepare the record for disclosure including making arrangements to make it available in the request form.

If a deposit has been paid in respect of a request for access, which is refused, then the Information Officer shall repay the deposit to the requester.

9. REMEDIES AVAILABLE IF THE COMPANY REFUSES A REQUEST FOR INFORMATION

Internal Remedies

The Company does not have internal appeal procedures. As such, the decision made by the Information Officer pertaining to a request is final, and requesters will have to exercise such external remedies at their disposal if a request is refused and the requester is not satisfied with the response provided by the Information Officer.

External Remedies

A requester that is dissatisfied with the Information Officer's refusal to disclose information may submit a complaint to the Information Regulator by email at PAIAComplaints@inforegulator.org.za, if the requester is still dissatisfied, make an application to a Court of Law for relief, within 180 days from the date of the request.

10. LIST OF APPLICABLE LEGISLATION, REGULATIONS, CODES, STANDARDS, RULES, DIRECTIVES, CHARTERS, CIRCULARS AND NOTES

Records of the Company and other members of the Peresec Group may be kept by or on behalf of the Company in accordance with various legislation, regulations, codes, standards, rules, directives, charters, circulars and notes which may be applicable to the Company and any other members of the Peresec Group from time to time.

11. SCHEDULE OF RECORDS

The following is a schedule of the records /documents kept by the Company and/or other members of the Peresec Group.

Companies Act records

- Documents of incorporation
- Memorandum and articles of association
- Minutes of board of directors' meetings
- Minutes of shareholder meetings
- Records relating to the appointment of directors/ auditor/ secretary/ public officer and other officers
- Share register and other statutory registers

Financial records

- Annual financial statements
- Tax returns
- Accounting records
- Banking records
- Bank statements
- Electronic banking records
- Asset register
- Rental agreements
- Invoices

Income tax records

- PAYE records
- Documents issued to employees for income tax purposes
- Records of payments made to SARS on behalf of employees
- All other statutory compliances:
- VAT
- Regional services levies
- Skills development levies
- UIF
- Workmen's compensation

Personnel documents and records

- Employment contracts
- Employment equity plan
- Medical aid records
- Pension fund records
- Disciplinary records
- Salary records

- SETA records
- Disciplinary code
- Leave records
- Training records
- Training manuals

12. AVAILABILITY OF THE MANUAL

The manual is available for inspection, on reasonable prior notice, at the office of the Company free of charge. Copies of the manual of the Company are also available from the SAHRC and the Company's website.

13. SIGNED



**TSHEPO MASEKO
CHAIRMAN**

DATE: 22 August 2023