

ACCESS TO INFORMATION MANUAL

OF

LAURIUM CAPITAL (PTY) LTD

2007/026029/07

**MANUAL PREPARED IN ACCORDANCE WITH SECTION 51
OF THE
PROMOTION OF ACCESS TO INFORMATION ACT NO.2 OF 2000**

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1. INTRODUCTION

1.1. The provision of the Act

The Promotion of Access to Information Act no 2. of 2000 (the “Act”) was enacted on 3 February 2000 and was put into effect in part on 9 March 2001, with Section 51 and other sections pertaining to the manuals to be prepared by public and private bodies coming into effect on 15 February 2002.

The object of the Act is to give effect to the constitutional right of access to information held by another and required for the exercise or protection of any right, privacy, commercial confidentiality, and professional privilege. When a request is made by a requester in accordance with the procedure provided for in the Act, for access to information held by a body (being either a public body or a private body), that body is obliged to deal with such a request in the manner prescribed in the Act. More specifically, that body is obliged to release the information except in those cases where the Act expressly provides that the information may not or must not be released.

1.2. Company LAURIUM CAPITAL (Pty) Ltd

Laurium Capital (Pty) Ltd is an investment manager running various funds investing in Sub-Saharan Africa.

In the case of private companies, the provision dealing with the form of the request, the fees payable, and the procedure to be followed in regard to a request, is contained in sections 53-60 of the Act. The grounds on which access to information may or must be refused are set out in sections 62-70 of the Act.

1.3. The purpose of the manual

The purpose of the manual is to make available to potential requesters information regarding the records held, to define the manner and form in which a request for information must be submitted and to set out the criteria and grounds, derived from the Act, to be applied with in granting or refusing a request.

The objective of the manual is therefore to inform and assist potential requesters in regard to the procedure to be followed and the criteria to be applied when a request is made for access to information held by Laurium Capital (Pty) Ltd in terms of the Act.

The manual may be amended from time to time as and when necessary. As and when amendments are effected, the latest version of the manual will be made public.

A requester who requires further information with regards to the use of this manual and/or the procedure to be followed may direct enquiries to:

Name	Murray Winckler
Telephone	011 263 7700
Fax	011 784 0773
E-mail	murray.winckler@lauriumcapital.com

1.4. Definitions

The following words or expressions will bear the following meanings in this manual:

“the Act”	Shall mean the Promotion of Access to Information Act, no.2 of 2000, together with all relevant regulations published there under
“the / this manual”	Shall mean this manual together with all annexures thereto as available at the offices of Laurium Capital (Pty) Ltd
“SAHRC”	Shall mean the South African Human Rights Commission
“Information Officer”	Shall mean the General Manager of Laurium Capital (Pty) Ltd, who has been appointed as the Information Officer of Laurium Capital (Pty) Ltd and to whom requests for information in terms of the Act shall be addressed

2. CONTACT DETAILS (SECTION 51(1)(A) OF THE ACT)

Name of company	Laurium Capital (Pty) Ltd
Registration number	2007/026029/07
Appointed Information Officer	Murray Winckler
Physical address	9 th Floor Fredman Towers 13 Fredman Drive Sandown

Postal address	P.O. Box 653421 Benmore 2010
Registered Office	21 Scott Street Waverley Johannesburg 2090
Company Secretary	Octagon
Auditors	Octagon Chartered Accountants
Telephone	011 263 7700
Fax	011 784 0773
E-mail	laurium@lauriumcapital.com
Website	www.lauriumcapital.com
VAT registration number	4830247229

3. DETAILS OF SUBSIDIARIES AND DIVISIONS

None

4. CONTACT DETAILS OF SUBSIDIARIES AND DIVISIONS

None

5. GUIDE IN TERMS OF SECTION 10 OF THE ACT (SECTION 51(1)(B) OF THE ACT)

In terms of Section 10 of the Act, a guide has to be compiled by the South African Human Rights Commission (SAHRC) containing such information as may be required by a person who wishes to exercise any right contemplated in the Act. The guide will be made available in all official languages by the SAHRC and will be obtainable from the SAHRC.

Contact details of the SAHRC are as follows:

Postal address	PAIA Unit The Research and Documentation Department Private Bag 2700 Houghton 2041
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Physical address	Offices of SAHRC Forum 3 Braampark Office Park Braamfontein
Telephone	011 877 3600
E-mail	PAIA @sahrc.org.za
Website	www.sahrc.org.za

6. NOTICE(S) IN TERMS OF SECTION 52(2) OF THE ACT (Section 51(1)(c))

In terms of section 52(1) of the Act, a private body may, on a voluntary basis, provide the Minister (of Justice) with information regarding categories of records that are automatically available without a person having to request access in terms of the Act. In terms of section 52(2), the Minister must, by notice in the Gazette, publish such information.

To date, no such notice has been published.

7. INFORMATION AVAILABLE IN TERMS OF OTHER LEGISLATION (Section 51(1)(d) of the Act)

Laurium Capital (Pty) Ltd keeps information in accordance with the following legislation:

- Basic Conditions of Employment Act no. 75 of 1997
- Broad-based Black Economic Empowerment Act no. 53 of 2003
- Companies Act no. 71 of 2008
- Compensation for Occupational Injuries and Diseases Amendment Act no. 61 of 1997
- Competition Amendment Act no. 1 of 2009
- Constitution Sixteenth Amendment Act of 2009
- Electronic Communications Amendment Act no. 37 of 2007
- Employment Equity Act no. 55 of 1998
- Financial Services Board Amendment Act no. 12 of 2000
- Income Tax Act no. 28 of 1997
- Insolvency Second Amendment Act no. 69 of 2002
- Labour Relations Amendment Act no. 12 of 2002
- Occupational Health and Safety Act no. 85 of 1993

- Promotion of Access to Information Amendment Act no. 54 of 2002
- Promotion of Equality and Prevention of Unfair Discrimination Act no. 4 of 2000
- Protected Disclosures Act no. 26 of 2000
- Skills Development Amendment Act no. 37 of 2008
- Unemployment Insurance Contributions Act no. 4 of 2002
- Value-Added Tax Act no. 89 of 1991

8. INFORMATION FORMING PART OF RECORDS IN TERMS OF THE ACT (Section 52(1)(e))

Laurium Capital (Pty) Ltd holds the following records:

8.1. Administration and management

- Administration and operational records
- Commercial contracts
- Correspondence
- Minutes of meetings
- Partnership agreements and protocols
- Risk, security and insurance records
- Statutory records

8.2. Finance

- Accounting records
- Creditors and debtors records
- Financial statements
- Operational expenditure records
- Salaries and wages records
- Taxes and levies records

8.3. Human resources

- Employment contracts
- Personnel records

8.4. Client and correspondents

- Client and correspondent accounts

- Client and correspondents' database
- Client files

8.5. Information technology

- Business intelligence
- Infrastructure and systems
- Service delivery systems

9. CRITERIA FOR GRANTING ACCESS TO INFORMATION

9.1. Any information, records, copies, documents or other data forming part of or pertaining to the records referred to in paragraphs 7 and 8 above will only be made available to a requester in response to a request prepared and lodged in the prescribed format and in accordance with the prescribed procedure (see paragraph 10 below).

9.2. Information, records, copies, documents or other data forming part of or pertaining to the aforesaid records will be made available to a requester in accordance with the provisions of the Act, and subject to the rules and principles entrenched in the Act in regard to the protection of the commercial and confidential information of Laurium Capital (Pty) Ltd and third parties, and taking into account the other grounds for refusal of access as set out in the Act.

9.3. Laurium Capital (Pty) Ltd may, in terms of sections 62-70 of the Act, legitimately refuse to grant access to the aforesaid records in respect of information falling within certain categories as contemplated in the Act, inter alia in the following circumstances:

- To protect personal information that the firm holds about a third person (who is a natural person), including a deceased person, from unreasonable disclosure;
- To protect commercial information that the firm holds about a third party or the firm itself (for example trade secrets: financial, commercial, scientific or technical information that may harm the commercial or financial interests of the organisation or the third party);
- If disclosure of the record would result in a breach of a duty of confidence owed to a third party in terms of an agreement;
- If disclosure of the record would endanger the life or physical safety of an individual;

- If disclosure of the record would prejudice or impair the security of property or means of transport;
- If disclosure of the record would prejudice or impair the protection of a person in accordance with a witness protection scheme;
- If disclosure of the record would prejudice or impair the protection of the safety of the public;
- If the record is privileged from production in legal proceedings, unless the legal privilege has been waived;
- If disclosure of the record (containing trade secrets, financial, commercial, scientific, or technical information) would harm the commercial or financial interests of the firm;
- If disclosure of the record would put the firm at a disadvantage in contractual or other negotiations or prejudice it in commercial competition;
- If the record is a computer program; and
- If the record contains information about research being carried out or about to be carried out on behalf of a third party or the firm.

10. REQUEST PROCEDURE

- 10.1. The requester must comply with all the procedural requirements contained in the Act relating to the request for access to a record.
- 10.2. The requester must complete the prescribed form enclosed here to as Appendix 1, and submit the form as well as payment of the request fee and a deposit, if applicable, to the Information Officer at the postal or physical address, fax number or electronic mail address as stated in paragraph 2 above.
- 10.3. The prescribed form must be filled in with enough particularity to enable the Information Officer to identify-
 - The information and/or record or records requested;
 - The identity of the requester;
 - Which form of access is required, if the request is granted;
 - The postal address or fax number of the requester.
- 10.4. The requester must state that he/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. In addition, the requester must clearly specify why the record is necessary to exercise or protect such a right.

- 10.5. The firm will process the request within 30 days, unless the requester has stated special reasons which would satisfy the Information officer that circumstances dictate that the above time periods not be complied with.
- 10.6. The requester will be informed whether access is granted or denied. If, in addition, the requester requires the reasons for the decision he/she must state the particulars so required.
- 10.7. 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.
- 10.8. In an individual is unable to complete the prescribed form because of illiteracy or disability, such as person may make the request orally.
- 10.9. The requester must pay the prescribed fee, before any further processing can take place.

11. REQUEST FEES

Section 54 of the Act provides for a private body to require a request fee to be paid by a requester before processing a request. The Minister of Justice has determined, by way of notice in the Gazette in terms of section 54(8) of the Act, the fee that may be charged.

Information in regard to the fees payable is set out in Appendix 2.

12. OTHER INFORMATION (Section 51(1)(f) of the Act)

The Minister of Justice and Constitutional Development has to date not published any regulations in terms of this section.

13. AVAILABILITY OF THIS MANUAL (Section 51(3) of the Act)

- 13.1. This manual is available for inspection at the offices of Laurium Capital (Pty) Ltd, free of charge.
- 13.2. Copies of the manual may be obtained, subject to the prescribed fees, at the offices of Laurium Capital (Pty) Ltd.
- 13.3. The manual can also be accessed on the website of Laurium Capital (Pty) Ltd (www.lauriumcapital.co.za).
- 13.4. It should be noted that the manual accessible from the SAHRC may not include the request form (Appendix 1) or fee structure (Appendix 2). The request forms and fee structure can be obtained on the SAHRC website (www.sahrc.org.za) or the website of the Department of Justice and Constitutional Development (www.doj.gov.za) (under “regulations”).

APPENDIX 1

Form C

Request for access to record of private body

(Section 53 (1) of the Promotion of Access to Information Act, 2000 (Act 2 of 2000))
[Regulation 10]

A Particulars of private body

The Head:

B Particulars of person requesting access to the record

- (a) The particulars of the person who requests access to the record must be given below.*
(b) The address and/or fax number in the Republic to which the information is to be sent must be given.
(c) Proof of the capacity in which the request is made, if applicable, must be attached.

Full names and surname:

Identity number:

Postal address:

Fax number: _____

Telephone number: _____

E-mail address: _____

Capacity in which request is made, when made on behalf of another person:

C Particulars of person on whose behalf request is made

This section must be completed ONLY if a request for information is made on behalf of another person.

Full names and surname:

Identity number:

D Particulars of record

(a) 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.
(b) If the provided space is inadequate, please continue on a separate folio and attach it to this form. **The requester must sign all the additional folios.**

1 Description of record or relevant part of the record:

2 Reference number, if available:

3 Any further particulars of record:

E Fees

(a) A request for access to a record, other than a record containing personal information about yourself, will be processed only after a **request fee** has been paid.
(b) You will be notified of the amount required to be paid as the request fee.
(c) 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.
(d) If you qualify for exemption of the payment of any fee, please state the reason for exemption.

Reason for exemption from payment of fees:

F Form of access to record

If you are prevented by a disability to read, view or listen to the record in the form of access provided for in 1 to 4 hereunder, state your disability and indicate in which form the record is required.

Disability:

Form in which record is required: Mark the appropriate box with an X.

NOTES:

(a) Compliance with your request in the specified form may depend on the form in which the record is available.

(b) Access in the form requested may be refused in certain circumstances. In such a case you will be informed if access will be granted in another form.

(c) The fee payable for access to the record, if any, will be determined partly by the form in which access is requested.

1 If the record is in written or printed form:

copy of record*

inspection of record

2 If record consists of visual images

(this includes photographs, slides, video recordings, computer-generated images, sketches, etc.):

View the images

Copy the images*

Transcription of the images*

3 If record consists of recorded words or information which can be reproduced in sound:

Listen to the soundtrack (audio cassette)

Transcription of soundtrack*

(written or printed document)

4 If record is held on computer or in an electronic or machine-readable form:

Printed copy of record*

Printed copy of information derived from the record*

Copy in computer readable form*

(memory stick or compact disc)

* If you requested a copy or transcription of a record (above), do you wish the copy or transcription to be posted to you?

A postal fee is payable

G Particulars of right to be exercised or protected

*If the provided space is inadequate, please continue on a separate folio and attach it to this form. **The requester must sign all the additional folios.***

1 Indicate which right is to be exercised or protected:

2 Explain why the record requested is required for the exercise or protection of the aforementioned right:

H Notice of decision regarding request for access

You will be notified in writing whether your request has been approved/denied. If you wish to be informed in another manner, please specify the manner and provide the necessary particulars to enable compliance with your request.

How would you prefer to be informed of the decision regarding your request for access to the record?

Signed at _____ This _____ day of _____ 2011

**SIGNATURE OF REQUESTER /
PERSON ON WHOSE BEHALF REQUEST IS MADE**

**APPENDIX 2
CHARGE SHEET FOR ACCESS TO INFORMATION
ACT 2/2000 REQUESTS**

REQUESTER'S DETAILS

Name _____

Address _____

Ref No _____

PREPARED BY:

Name _____

Date _____

Signature _____

Approved (Manager) _____

1. ACCESS FEES FOR REPRODUCTION

1.1 For every photocopy of an A4-size page or part thereof R 1.10

1.2 For every photocopy of an A4-size page or part thereof held on a computer or
in electronic or machine-readable form R 0.75

1.3 For a copy in a computer-readable form on memory stick R70.00

1.4 For a copy in a computer-readable form on compact disc R70.00

1.5 For a transcription of visual images for an A4-size page or part thereof R40.00

1.6 For a copy of visual images R60.00

1.7 For a transcription of an audio record for an A4-size page or part thereof R20.00

1.8 For a copy of an audio record R30.00

2. ACCESS FEE FOR TIME SPENT

The time reasonably required to search for the record for disclosure and

Preparation 30.00/hr or part thereof

3. REQUEST FEE

For a request for access to a record by a person other than a personal

Requestor R50.00

4. DEPOSIT

4.1 One third of the access fee is payable as a deposit by the requester

4.2 Six hours as the hours to be exceeded before a deposit is payable

5. POSTAL FEE

When a copy of a record must be posted to the requestor

R 9.75

6. APPEAL FEES

For lodging an internal appeal by a requester against the refusal of his/her request for access to a record

R50.00

7. VAT

Private bodies registered under the Value Added Tax Act, 1991 (Act No. 89 of 1991) as vendors may add VAT to all the prescribed fees in terms of these regulations.