

**MANUAL PREPARED IN ACCORDANCE WITH SECTION 51 OF THE PROMOTION OF  
ACCESS TO INFORMATION ACT 2 OF 2000 AND THE PROTECTION OF PERSONAL  
INFORMATION ACT 4 OF 2013 FOR OPPENHEIMER PARTNERS AFRICA ADVISORS  
PROPRIETARY LIMITED**

## 1 INTRODUCTION

- 1.1 This manual is published pursuant to sections 14 and 51 of the Promotion of Access to Information Act 2 of 2000 ("**PAIA**") which was promulgated in order to nurture an ethos which promotes transparency, accountability and effective governance of all private and public bodies. PAIA gives effect to section 32 of the Constitution of the Republic of South Africa, 1996, which provides for the right of access to information in a manner that affords persons a means/platform to obtain the records of private and public bodies as promptly and as efficiently as reasonably possible to endorse, including but not limited to, mechanisms and procedures that empower and educate all persons.
- 1.2 PAIA requires organisations to compile a manual as a guide to requesters of information. The Manual also serves to indicate the types of records held by Oppenheimer Partners Africa Advisors Proprietary Limited ("**us**" or "**we**") and the availability of such records from us.
- 1.3 In addition, the manual explains how to access, or object to, or request correction or deletion of, personal information held by us, in terms of sections 23, 24 and 25 of the Protection of Personal Information Act 4 of 2013 ("**POPIA**"), and the Regulations Relating to the Protection of Personal Information, 2017 ("**POPIA Regulations**").
- 1.4 This manual is not exhaustive of, nor does it comprehensively deal with, every procedure provided for in PAIA. Requestors are advised to familiarise themselves with the provisions of PAIA and POPIA before making any requests to us in terms of these Acts. However, in terms of section 19 of PAIA, and Regulations 2 and 3 of the POPIA, we will provide such assistance as is required in completing the necessary forms, by parties applying for access to information or personal information.
- 1.5 We make no representation and gives no undertaking or warranty that the information in this manual or any information provided by it to a requestor is complete or accurate, or that such information is fit for any purpose. All users of any such information use such information entirely at their own risk, and we will not be liable for any loss, expense, liability or claims, howsoever arising, resulting from the use of this manual or of any information provided by us or from any error therein.

## 2 OVERVIEW

We are a company present in South Africa.

## 3 INFORMATION OFFICER AND CONTACT DETAILS OF OPPENHEIMER PARTNERS AFRICA ADVISORS PROPRIETARY LIMITED

3.1 Our Information Officer's contact details are as follows

| <b>Name</b> | <b>Contact details</b>   |
|-------------|--|
| Neeraj Shah | Telephone no: +27 11 087 0100<br>Email:InformationOfficer@oppenheimer-partners.com |

3.2 The contact details for our Head Office are as follows –

|   |   |
|---|---|
| <b>Physical address</b><br><b>Head office</b> | Oakhurst, 3 <sup>rd</sup> Floor North Wing, 13 St. Andrews Road,<br>Parktown, Johannesburg, Gauteng, 2193 |
| <b>Postal address</b><br><b>Head office</b>   | Oakhurst, 3 <sup>rd</sup> Floor North Wing, 13 St. Andrews Road,<br>Parktown, Johannesburg, Gauteng, 2193 |

## 4 GUIDE ON HOW TO USE PAIA

4.1 As of 1 July 2021, the Information Regulator assumed the functions of the South African Human Rights Commission (“**SAHRC**”) and is responsible for PAIA and POPIA queries.

4.2 As part of its functions, the Information Regulator may, from time-to-time, publish guides on how to use PAIA and POPIA.

4.3 The SAHRC previously developed a guide with information on how to use PAIA. This guide is available on the SAHRC website <https://www.sahrc.org.za>.

4.4 Any information or queries related to the guide, or to PAIA or POPIA should be directed to –

**Information Regulator**

JD House  
27 Stiemens Street  
Braamfontein  
Johannesburg  
2001

Telephone number: (012) 406 4818  
Fax number: (086) 500 3351  
Website: [www.justice.gov.za/infoereg](http://www.justice.gov.za/infoereg)  
E-mail: [infoereg@justice.gov.za](mailto:infoereg@justice.gov.za)

**5 NOTICE IN TERMS OF SECTION 51(1)(C)**

- 5.1 At this stage no notices have been published by the Information Regulator on the categories of records automatically available without a person having to request access thereto in terms of PAIA.

**6 RECORDS AVAILABLE IN ACCORDANCE WITH LEGISLATION IN TERMS OF SECTION 51(1)(D)**

Records are kept in accordance with legislation as is applicable to us, which include (but may not be limited to) the following legislation –

- 6.1 Basic Conditions of Employment Act 75 of 1997;
- 6.2 Broad-Based Black Economic Empowerment Act 53 of 2003;
- 6.3 Companies Act 71 of 2008;
- 6.4 Compensation for Occupational Injuries and Diseases Act 130 of 1993;
- 6.5 Employment Equity Act 55 of 1998;
- 6.6 Income Tax Act 58 of 1962;
- 6.7 Labour Relations Act 66 of 1995;

- 6.8 Occupational Health and Safety Act 85 of 1993;
- 6.9 Skills Development Act 9 of 1999;
- 6.10 Skills Development Levies Act 9 of 1999;
- 6.11 South African Qualifications Authority Act 67 of 2008;
- 6.12 Employment Services Act 4 of 2014;
- 6.13 Unemployment Insurance Act 63 of 2001;
- 6.14 Value Added Tax Act 89 of 1991.

**7 INFORMATION REQUIRED IN TERMS OF SECTION 51(1)**

The following table contains a description of the types of records / subjects which we hold and the categories of records held on each subject –

| <b>Subject</b>           | <b>Description of record</b>   |
|--------------------------|--|
| <b>Statutory records</b> | <ul style="list-style-type: none"> <li>• Company incorporation documents</li> <li>• Share register</li> <li>• Memorandum of Incorporation</li> <li>• Minutes of meetings of the board of directors</li> <li>• Records relating to the appointment of directors, auditors, and other officers</li> </ul>                |
| <b>Income tax</b>        | <ul style="list-style-type: none"> <li>• Pay-as-you-earn (PAYE) records</li> <li>• Documents issued to employees for income tax purposes</li> <li>• Records of payments made to South African Revenue Services on behalf of employees</li> <li>• All or any statutory compliance</li> <li>• Value Added Tax</li> </ul> |

|                                 |  |
|---------------------------------|--|
|                                 | <ul style="list-style-type: none"> <li>• Skills development levies</li> <li>• Unemployment Insurance Fund</li> </ul>   |
| <b>Labour relations records</b> | <ul style="list-style-type: none"> <li>• Personnel documents and records</li> <li>• Employment contracts</li> <li>• Medical aid records</li> <li>• Retirement Fund records</li> <li>• Disciplinary records</li> <li>• Salary records</li> <li>• Disciplinary code and / or procedures</li> <li>• Leave records</li> <li>• Training records</li> <li>• Training manuals</li> <li>• Address lists</li> <li>• Internal telephone lists</li> </ul> |
| <b>Finance</b>                  | <ul style="list-style-type: none"> <li>• Receipts and payments</li> <li>• Bank statements</li> <li>• Budgets</li> <li>• Management accounts</li> <li>• Asset registers</li> <li>• Orders, quotes and invoices</li> <li>• Minutes of meetings</li> <li>• Correspondence</li> </ul>  |
| <b>Risk and compliance</b>      | <ul style="list-style-type: none"> <li>• Contracts</li> <li>• Testing certificates</li> <li>• Policies and procedures</li> <li>• Risk assessment</li> <li>• Compliance records</li> </ul>  |

## 8 PROCESSING OF PERSONAL INFORMATION

### 8.1 POPIA

8.1.1 Chapter 3 of POPIA provides for the minimum conditions for lawful processing of Personal Information. These conditions may not be derogated from unless specific exclusions apply as outlined in POPIA.

8.1.2 We process personal information in accordance with POPIA. We will ensure that all processing conditions of POPIA are complied with at the time of processing of personal information. We process personal information of both living and juristic persons.

### 8.2 Purpose for processing of personal information by us

We process personal information for a number of reasons including, but not limited to, –

8.2.1 manage dispute resolution;

8.2.2 create and manage supplier relationships; and

8.2.3 general human resource and finance functions including those obligations imposed by legislation.

### 8.3 Categories of data subjects

We process personal information relating to the following categories of data subjects–

8.3.1 shareholders;

8.3.2 board of trustees;

8.3.3 directors;

8.3.4 employees and job applicants;

8.3.5 jursitic entities (i.e. service providers, contractors, consultants)

8.3.6 complainants and enquirers;

8.3.7 visitors to premises; and

8.3.8 individuals captured by CCTV images.

8.4 Types of information (and special personal information) processed

8.4.1 We process the following types of personal information, amongst others, –

8.4.1.1 name and surname;

8.4.1.2 email address and postal address;

8.4.1.3 phone number;

8.4.1.4 transaction information;

8.4.1.5 services history;

8.4.1.6 payment information; and

8.4.1.7 data relating to the commercial relationship and details regarding the service subscribed (including duration and any correspondence).

8.5 Disclosure of your personal information

8.5.1 Where we disclose your personal information to any third party, the latter will be obliged to use that personal information for the reasons and purposes it was disclosed.



8.5.2 We may be obliged to disclose your personal information where we have a duty to disclose it in terms of law or where we believe it is necessary to protect our rights.

8.6 Trans-border/Cross border flows of personal information

Section 72 of POPIA provides that personal information may only be transferred out of the Republic of South Africa if certain conditions are satisfied. Insofar as the transborder flow of Personal Information is applicable, we will comply with the conditions set out in section 72 of POPIA.

8.7 General description of information security measures

8.7.1 We take reasonable and appropriate technical and organisational measures to ensure that personal information is kept secure and is protected against unauthorised or unlawful processing, accidental loss, destruction or damage, alteration disclosure or access. We contractually require that service providers who handle your personal information for us do the same.

8.7.2 We, on a regular basis, review the security controls and related processes to ensure that personal information is secure.

## 9 HOW TO REQUEST ACCESS TO A RECORD

9.1 To request a record in terms of PAIA, the requestor must complete the prescribed form attached to this manual as **Annexure A**. This request must be sent to the Information Officer at the addresses provided at paragraph 3.1.

9.2 For POPIA-related requests to object to the processing of personal information, correct or delete personal information, the request must be made in writing on the applicable prescribed **Form 1** (objection) or **Form 2** (correction or deletion), which are attached to this Manual as **Annexure B**.

9.3 The requestor must provide sufficient detail to enable the Information Officer to identify the record(s) requested and the requestor. The requestor must indicate which form of access is required, identify the right that he/she is seeking to exercise

or protect and provide an explanation of why the requested record is required for the exercise or protection of that right.

9.4 If the request is made on behalf of another person, the requestor must submit proof of the capacity in which the requestor is making the request, to the reasonable satisfaction of the Information Officer.

9.5 PAIA makes provision for certain grounds upon which a request for access to information must be refused. On this basis, the Information Officer will make a decision whether or not to grant a request for access to information.

## 10 PAYMENT OF FEES

10.1 PAIA provides for two types of fees, namely –

10.1.1 a request fee, which will be a standard non-refundable administration fee, payable prior to the request being considered; and

10.1.2 an access fee, payable when access is granted which must be calculated by taking into account reproduction costs, search and preparation time and cost, as well as postal costs.

10.2 Subsequent to a request being made, the Information Officer, shall by notice require the requester, excluding personal requester, to pay the prescribed request fee (if any), before further processing of the request.

10.3 If the search for and preparation for disclosure of the record has been made, including arrangement to make it available in the requested form, requires more than the hours prescribed in the regulations for this purpose, we will request the requester to pay as a deposit the prescribed portion of the access fee which would be payable if the request is granted.

10.4 We may withhold a record until the requester has paid the fees as indicated in **Annexure C**.

- 10.5 A requester whose request has been granted must pay the applicable access fee for reproduction, search, 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.
- 10.6 In terms of POPIA, a data subject has the right to request us to confirm, free of charge, whether we hold personal information about the data subject and request from us the record or a description of the personal information held, including information about the identity of all third parties, or categories of third parties, who have, or have had, access to the information.
- 10.7 POPIA further provides that where the data subject is required to pay a fee for services provided to them, we must provide the data subject with a written estimate of the payable amount before providing the service and may require that the requestor pay a deposit for all or part of the fee.

## **11 APPLICABLE TIME-PERIODS**

- 11.1 We will inform the requester within 30 days after receipt of the request of our decision whether or not to grant the request.
- 11.2 The 30 day period may be extended by a further period of not more than 30 days if the request is for a large number of records or requires a search through a large number of records and compliance with the original period would unreasonably interfere with our activities or the records are not located at our premises.

## **12 OUTCOME OF THE REQUEST (GRANTING OR REFUSING)**

Should the request be refused, the notice will state adequate reasons for the refusal, including the provisions of PAIA relied upon; and that the requester may lodge an application with a Court against the refusal of the request.

## **13 GROUNDS FOR REFUSAL OF ACCESS TO RECORDS**

- 13.1 In terms of Section 62 to 69 of PAIA access granted to a record may be refused on one or more of the following grounds –

- 13.1.1 protection of privacy to a third party who is a natural person;
  - 13.1.2 protection of the commercial information of a third party;
  - 13.1.3 protection of certain confidential information of a third person;
  - 13.1.4 protection of the safety of individuals and the protection of property;
  - 13.1.5 protection of records privileged from production and legal proceedings;
  - 13.1.6 protection of our commercial information; and
  - 13.1.7 protection of research information of a third party.
- 13.2 Despite any provisions of PAIA, a request must be granted if the disclosure of the record would reveal evidence of substantial contravention of, or failure to comply with, the law or imminent and serious public safety or environment risk, and the public interest in the disclosure of the record clearly outweighs the harm contemplated (section 70 of PAIA).

#### **14 REMEDIES FOR REFUSAL**

Should the requester be dissatisfied with the Information Officer's decision to refuse access, that person may within 30 days after notification of the refusal apply to a Court for the appropriate relief.

#### **15 AVAILABILITY OF THE MANUAL**

This manual is available in electronic and hard copies in English. The hard copies are available at our head office as contained in paragraph 3.2. The electronic version of this manual can be emailed to you upon request submitted to our Information Officer at [InformationOfficer@oppenheimer-partners.com](mailto:InformationOfficer@oppenheimer-partners.com).

## 16 **UPDATING OF THIS MANUAL**

This manual will be reviewed and updated, if necessary, on a periodic basis but no less than once each year.

## 17 **VERSION CONTROL**

Last updated June 2021.

**ANNEXURE A**  
**FORM C**  
**REQUEST FOR ACCESS TO RECORD OF PRIVATE BODY**  
**(Section 53(1) of the Act)**  
**[Regulation 10]**

**A. Particulars of private body**

The Head: \_\_\_\_\_

Company Name: \_\_\_\_\_

Company Registration Number: \_\_\_\_\_

**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: \_\_\_\_\_

Postal address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Fax number: \_\_\_\_\_

Telephone number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

**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:<br>_____ | Form in which record is required:<br>_____ |
|----------------------|--|

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:**

|                          |                 |                          |                      |
|--------------------------|-----------------|--------------------------|----------------------|
| <input type="checkbox"/> | copy of record* | <input type="checkbox"/> | 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 of the images*   |     | transcription of the images*                                      |
| <b>3. If record consists of recorded words or information which can be reproduced in sound:</b>   |  |  |   |     |   |
|   | listen to the soundtrack<br>(audio cassette) |  | transcription of soundtrack*<br>(written or printed document) |     |   |
| <b>4. If record is held on computer or in an electronic or machine-readable form:</b>   |  |  |   |     |   |
|   | printed copy of record*                      |  | printed copy of<br>information derived from<br>the record*    |     | copy in computer<br>readable form*<br>(stiffy or compact<br>disc) |
| *If you requested a copy or transcription of a record (above), do you wish the copy or transcription to be posted to you?<br><b>Postage is payable.</b> |  |  |   | YES | NO  |

**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:

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

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**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?

---

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

---

Signature of requestor /  
person on whose behalf request is made

---

Name of requestor /  
person on whose behalf request is made

**ANNEXURE B**

**FORM 1**

**OBJECTION TO THE PROCESSING OF PERSONAL INFORMATION IN TERMS OF  
SECTION 11(3) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013  
(ACT NO. 4 OF 2013)**

**REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017**  
[Regulation 2(1)]

*Note:*

1. *Affidavits or other documentary evidence in support of the objection must be attached.*
2. *If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*

Reference Number.....

| <b>A</b>  | <b>DETAILS OF DATA SUBJECT</b>      |
|---|-------------------------------------|
| Name and surname of data subject:   |                                     |
| Residential, postal or business address:  |                                     |
| Contact number(s):  |                                     |
| FAX number:   |                                     |
| E-mail address:   |                                     |
| <b>B</b>  | <b>DETAILS OF RESPONSIBLE PARTY</b> |
| Name and surname of responsible party<br><i>(if the responsible party is a natural person):</i> |                                     |
| Residential, postal or business address:  |                                     |
| Contact number(s):  |                                     |
| FAX number:   |                                     |
| E-mail address:   |                                     |
| Name of public or private body<br><i>(if the responsible party is not a natural person):</i>    |                                     |
| Business address:   |                                     |
| Contact number(s):  |                                     |
| FAX number:   |                                     |



**FORM 2**

**REQUEST FOR CORRECTION OR DELETION OF PERSONAL INFORMATION OR  
DESTROYING OR DELETION OF RECORD OF PERSONAL INFORMATION IN TERMS OF  
SECTION 24(1) OF THE PROTECTION OF PERSONAL INFORMATION ACT, 2013  
(ACT NO. 4 OF 2013)**

**REGULATIONS RELATING TO THE PROTECTION OF PERSONAL INFORMATION, 2017  
[Regulation 3(2)]**

*Note:*

*Affidavits or other documentary evidence in support of the request must be attached.  
If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.*

Reference Number.....

Mark the appropriate box with an "x".

**Request for:**

Correction or deletion of the personal information about the data subject which is in possession or under the control of the responsible party.

Destroying or deletion of a record of personal information about the data subject which is in possession or under the control of the responsible party and who is no longer authorised to retain the record of information.

| <b>A</b>  | <b>DETAILS OF DATA SUBJECT</b>      |
|---|-------------------------------------|
| Surname:  |                                     |
| Full names:   |                                     |
| Identity number:  |                                     |
| Residential, postal or business address:  |                                     |
| Contact number(s):  |                                     |
| FAX number:   |                                     |
| E-mail address:   |                                     |
| <b>B</b>  | <b>DETAILS OF RESPONSIBLE PARTY</b> |
| Name and surname of responsible party (if the responsible party is a natural person): |                                     |
| Residential, postal or business address:  |                                     |



## ANNEXURE C

### FEES PAYABLE IN RESPECT OF RECORDS REQUESTED

| The fees, in respect of private bodies, are as follows –   | Rands   |
|--|---------|
| For every photocopy of an A4-size page or part thereof   | R 1.10  |
| For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form                             | R 0.75  |
| For a copy in a computer-readable form on – <ul style="list-style-type: none"> <li>• stifty disc R 7.50</li> <li>• compact disc R 70.00</li> </ul> |         |
| For a transcription of visual images, for an A4-size page or part thereof  | R 40.00 |
| For a copy of visual images  | R 60.00 |
| For a transcription of an audio record, for an A4-size page or part thereof  | R 20.00 |
| For a copy of an audio record  | R 30.00 |
| The request fee payable by a requester, other than a personal requester  | R 50.00 |
| The access fees payable by a requester are as follows –  |         |
| For every photocopy of an A4-size page or part thereof   | R 1.10  |
| For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form                             | R 0.75  |
| For a copy in a computer-readable form on - <ul style="list-style-type: none"> <li>• stifty disc R 7.50</li> <li>• compact disc R 70.00</li> </ul> |         |
| For a transcription of visual images, for an A4-size page or part thereof  | R 40.00 |
| For a copy of visual images  | R 60.00 |
| For a transcription of an audio record, for an A4-size page or part thereof  | R 20.00 |
| For a copy of an audio record  | R 30.00 |
| To search for and prepare the record for disclosure, R30.00 for each hour or part of an hour reasonably required for such search and preparation.  |         |

|  |
|--|
| <p>For purposes of section 54(2) of the Act, the following applies –</p> <ul style="list-style-type: none"> <li>• Six hours as the hours to be exceeded before a deposit is payable; and</li> <li>• one third of the access fee is payable as a deposit by the requester.</li> </ul> <p>The actual postage is payable when a copy of a record must be posted to a requester.</p> |
|--|