

PROMOTION OF ACCESS TO INFORMATION ACT MANUAL



KHUMO CAPITAL (PTY) LTD

REGISTRATION NUMBER: 2017/320262/07

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1. INTRODUCTION

- 1.1. Khumo Capital (Pty) Ltd (“Khumo”) is an authorised financial services provider in terms of the Financial Advisory & Intermediary Service Act and regulated by the Financial Sector Conduct Authority (“FSCA”). The FSP number is 49226.
- 1.2. Khumo was established in 2018 with the objective of providing specialised asset management services to investors. The business focuses on designing and managing bespoke investment solutions utilising traditional and non-traditional investment instruments. We aspire to be a market leading black empowered asset management company and the business of choice in our specific field of investments. The company focuses on its core competence of designing, implementing and managing derivative-based solutions (including capital protected and absolute return, efficient portfolio management, risk hedging and alpha transport strategies) as well as fixed income, credit and other strategies on behalf of institutional clients. Strategies are both local and offshore. Risk management and appropriate governance structures are core to the company and a culture of accountability and ethical conduct is adhered to. Employees need to attest to the fact that they have reviewed and will adhere to all the policies governing the company and regular training is provided. Above all, the company has an unwavering client focus and clients are placed at the centre of everything we do and all the decisions we make.

2. COMPANY CONTACT DETAILS (Section 51(1)(a))

- 2.1. Information Officer: Glanville Retief
- 2.2. Postal Address: 4th Floor, Sunclare Building, 21 Dreyer Street, Claremont, Cape Town, 7708
- 2.3. Street Address: 4th Floor, Sunclare Building, 21 Dreyer Street, Claremont, Cape Town, 7708
- 2.4. Telephone Number: +27 21 003 9256
- 2.5. Email: glanville.retief@khumocapital.africa
- 2.6. Website: www.khumocapital.africa

3. ACCESS TO RECORDS (Section 51(1)(b))

- 3.1. The Promotion of Access to Information Act (“PAIA”), grants a requester access to certain records of a private body if the said records are required to exercise or protect any rights of the requester. Should a public body lodge such a request, it must be acting in the public interest.
- 3.2. Any request for information in terms of PAIA, must be made in accordance with the prescribed form and manner, at the rates provided. The prescribed form and manner and the tariff are dealt with in section 6 and 7.
- 3.3. The South African Human Rights Commission (SAHRC) has compiled and published a useful guide in terms of section 10 of PAIA, containing valuable information for the purposes of exercising any right in terms of PAIA.
- 3.4. The guide is made available in all official languages on the website of the SAHRC at the following URL:
<https://www.sahrc.org.za/home/21/files/Section%2010%20guide%202014.pdf>
- 3.5. The contact details of the SAHRC are as follows:

Postal Address: : Private Bag 2700, Houghton, 2041

Telephone Number : 011 877 3600

Fax Number : 011 403 0625

Website : www.sahrc.org.za

4. RECORDS AVAILABLE IN TERMS OF OTHER LEGISLATION (Section 51(1)(c))

- 4.1. Basic Conditions of Employment Act, 75 of 1997
- 4.2. Companies Act, 71 of 2008
- 4.3. Compensation for Occupational Injuries and Health Diseases Act, 130 of 1993
- 4.4. Copyright Act, 98 of 1978
- 4.5. Employment Equity Act, 55 of 1998
- 4.6. Financial Advisory and Intermediary Services Act, 37 of 2002
- 4.7. Financial Intelligence Centre Act, 38 of 2001
- 4.8. Income Tax Act, 95 of 1967

- 4.9. Labour Relations Act, 66 of 1995
- 4.10. Occupational Health & Safety Act, 85 of 1993
- 4.11. Skills Development Act, 9 of 1999
- 4.12. Unemployment Insurance Act, 63 of 2001
- 4.13. Value Added Tax Act, 89 of 1991

5. SCHEDULE OF RECORDS (Section 51 (1)(d))

- 5.1. Records that are available without having to submit a request in terms of PAIA:
 - 5.1.1. Publicly available marketing material
 - 5.1.2. Pamphlets
- 5.2. Records that must be requested in terms of PAIA:
 - 5.2.1. Memorandum of Incorporation
 - 5.2.2. Minutes of Board of Directors meetings
 - 5.2.3. Records relating to the appointment of directors/auditor/secretary/public officer and other officers
 - 5.2.4. Share Register and other statutory registers
 - 5.2.5. Annual Financial Statements
 - 5.2.6. Tax Returns
 - 5.2.7. Accounting Records
 - 5.2.8. Banking Records
 - 5.2.9. Asset Register
 - 5.2.10. Rental Agreements
 - 5.2.11. Invoices
 - 5.2.12. PAYE Records
 - 5.2.13. Documents issued to employees for income tax purposes
 - 5.2.14. Records of payments made to SARS on behalf of employees
 - 5.2.15. Regional Services Levies

- 5.2.16. Skills Development Levies
- 5.2.17. UIF
- 5.2.18. Employment contracts
- 5.2.19. Employment Equity Plan
- 5.2.20. Medical Aid records
- 5.2.21. Pension Fund records
- 5.2.22. Disciplinary records
- 5.2.23. Salary records
- 5.2.24. Disciplinary code
- 5.2.25. Leave records
- 5.2.26. Training records
- 5.2.27. Training Manuals

6. FORM OF A REQUEST FOR INFORMATION (Section 51(1)(e))

- 6.1. A requester must use the prescribed form "Form C" (available for download on the Department of Justice and Constitutional Development "DOJ" website) to request access to the information as per 5.2. above.
- 6.2. Form C can be downloaded from the following URL:
http://www.justice.gov.za/forms/form_paia.htm
- 6.3. The request must be addressed to the responsible person as indicated in section 2.
- 6.4. The requester must provide sufficient detail on Form C to enable the contact person of the company to establish who is requesting the said information as well as what information is being requested and in what format.
- 6.5. The requester must provide sufficient detail in respect of his/her contact details and if the requester wishes to be informed of the decision of the company in any manner (in addition to written) the manner and particulars thereof.
- 6.6. Lastly, the right which the requester is seeking to exercise or protect with an explanation of the reason the record is required to exercise or protect the right.

- 6.7. After the company has decided on the request, the requester must be notified in the required form.
- 6.8. If the request is granted then a further access fee must be paid for the search, reproduction, preparation and for any time that has exceeded the prescribed hour to search and prepare the record for disclosure.

7. PRESCRIBED FEES (Section 51(1)(f))

- 7.1. A requester who seeks access to a record containing personal information about that requester is not required to pay a request fee.
- 7.2. Every other requester, who is not a personal requester, must pay the required request fee, as prescribed from time to time.
- 7.3. If the preparation of the record requested requires more than the prescribed hours (six), a deposit shall be paid (of not more than one third of the access fee which would be payable if the request were granted). A requestor may lodge an application with a court against the tender/payment of the request fee and/or deposit.
- 7.4. Records may be withheld until the fees have been paid.
- 7.5. The fees can be downloaded from the following URL:
<https://www.sahrc.org.za/home/21/files/PAIA%20Notice%20on%20fees.pdf>

8. AVAILABILITY OF THE MANUAL (Section 51(3))

- 8.1. This manual is available upon request from the contact person of the company as per section 2.
- 8.2. A copy is also made available on the website of the company.

Name: Glanville Retief

Signature: 
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Designation: Information Officer

Signed on: 30 November 2020 at Cape Town

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