

A network diagram with white nodes and lines on a dark blue background. A large, irregular, olive-green shape is in the bottom right corner.

**PROMOTION OF  
ACCESS TO  
INFORMATION ACT  
MANUAL**  
("PAIA MANUAL")

1. INTRODUCTION	3
2. COMPANY CONTACT DETAILS (SECTION 51(1)(A))	3
3. ACCESS TO RECORDS (SECTION 51(1)(B))	3
4. RECORDS AVAILABLE IN TERMS OF OTHER LEGISLATION (SECTION 51(1)(C))	4
5. SCHEDULE OF RECORDS (SECTION 51 (1)(D))	5
6. FORM OF A REQUEST FOR INFORMATION (SECTION 51(1)(E))	6
7. PRESCRIBED FEES (SECTION 51(1)(F))	7
8. AVAILABILITY OF THE MANUAL (SECTION 51(3))	8

## 1. INTRODUCTION

- 1.1. Ata Capital (Pty) Ltd 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 46869.
- 1.2. This policy relates to Ata Capital, its subsidiaries and related Funds. Ata Capital is an alternative asset class fund manager, focused on identifying and maximising real investment opportunities that create sustained stakeholder impact, generate effective returns and drive sector transformation.

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

- 2.1. Information Officer: Sharlinee Nayager
- 2.2. Postal Address: Postnet Suite, 1099, Private Bag X9, Benmore, 2010
- 2.3. Street Address: 9<sup>th</sup> Floor, 90 Grayston Drive, Sandown, Sandton, 2196
- 2.4. Telephone Number: 011 321 1620
- 2.5. Email: [sharlinee@atacapital.co.za](mailto:sharlinee@atacapital.co.za)
- 2.6. Website: [www.atacapital.co.za](http://www.atacapital.co.za)

## 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](http://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. Broad-based Black Economic Empowerment Act 53 of 2003
- 4.3. Conduct of Financial Institutions Bill, 2017
- 4.4. Companies Act, 71 of 2008
- 4.5. Competition Act 89 of 1998
- 4.6. Copyright Act 98 of 1978
- 4.7. Electronic Communications and Transactions Act 25 of 2002
- 4.8. Employment Equity Act, 55 of 1998
- 4.9. Financial Advisory and Intermediary Services Act, 37 of 2002
- 4.10. Financial Intelligence Centre Act, 38 of 2001
- 4.11. Financial Sector Regulation Act 9 of 2017
- 4.12. Income Tax Act, 95 of 1967
- 4.13. Labour Relations Act, 66 of 1995
- 4.14. Occupational Health & Safety Act, 85 of 1993
- 4.15. Pension Funds Act 24 of 1956

- 4.16. Prevention and Combating of Corrupt Activities Act 12 of 2004
- 4.17. Prevention of Organised Crime Act 121 of 1998
- 4.18. Protection of Constitutional Democracy against Terrorist and Related Activities Act 33 of 2004
- 4.19. Protection of Personal Information Act 4 of 2013
- 4.20. Skills Development Act, 9 of 1999
- 4.21. Tax Administration Act 28 of 2011
- 4.22. Unemployment Insurance Act, 63 of 2001
- 4.23. 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. Marketing material made available in the public domain
  - 5.1.2. Records of a public nature, such as records disclosed on the Ata Capital website
- 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. Skills Development Levies
- 5.2.16. UIF
- 5.2.17. Employment contracts
- 5.2.18. Employment Equity Plan
- 5.2.19. Medical Aid records
- 5.2.20. Pension Fund records
- 5.2.21. Disciplinary records
- 5.2.22. Salary records
- 5.2.23. Leave records
- 5.2.24. Internal Policies and Procedures
- 5.2.25. Any other records that are available but are not detailed in the list above.

## **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](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. In terms of the Act, Ata Capital, as soon as reasonably possible and within thirty days after the request has been received, shall decide whether or not to grant the request.
- 6.8. After the company has decided on the request, the requester must be notified in the required form.
- 6.9. 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 for inspection at the offices of the company free of charge upon prior arrangement with the said contact person of the company as per section 2.
- 8.2. A copy is also made available on the website of the company.



**FORM 3**  
**OUTCOME OF REQUEST AND OF FEES PAYABLE**  
 [Regulation 8]

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 public/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			
(ii) Compact disc	R40.00		
• If provided by requestor			
• If provided to the requestor	R60.00		
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		
<b>TOTAL:</b>			

**5. Deposit payable (if search exceeds six hours):**

Yes

No

Hours of search	Amount of deposit (calculated on one third of total amount per request)

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

# FORM 2

## REQUEST FOR ACCESS TO RECORD

[Regulation 7]

**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. (B):		Facsimile: <input type="text"/>
	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. (B)		Facsimile
	Cellular		
<b>PARTICULARS OF RECORD REQUESTED</b>			
<i>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.)</i>			
Description of record or relevant part of the record:			
Reference number, if available			
Any further particulars of record			
<b>TYPE OF RECORD</b> <i>(Mark the applicable box with an "X")</i>			
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**  
(Mark the applicable box with an "X")

Printed copy of record (including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form)	
Written or printed transcription of virtual images (this includes photographs, slides, video recordings, computer-generated images, sketches, etc)	
Transcription of soundtrack (written or printed document)	
Copy of record on flash drive (including virtual images and soundtracks)	
Copy of record on compact disc drive (including virtual images and soundtracks)	
Copy of record saved on cloud storage server	

**MANNER OF ACCESS**  
(Mark the applicable box with an "X")

Personal inspection of record at registered address of public/private body (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)	
Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format (including transcriptions)	
E-mail of information (including soundtracks if possible)	
Cloud share/file transfer	
Preferred language (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)	

**PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED**

*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.*

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:	

<b>FEEES</b>	
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**

Reference number:	
Request received by: <i>(State Rank, Name And Surname of Information Officer)</i>	
Date received:	
Access fees:	
Deposit (if any):	

\_\_\_\_\_  
**Signature of Information Officer**