

PROMOTION OF ACCESS TO INFORMATION ACT MANUAL



PROTEA CAPITAL MANAGEMENT (PTY) LTD

REGISTRATION NUMBER 2015/327243/07

FSP NUMBER 49796

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1. INTRODUCTION

- 1.1. Protea Capital Management (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 49796.
- 1.2. Our focus is on growing the wealth of our retail and institutional clients at an above-average rate over the long-term, by investing in publicly listed equities worldwide. We employ a proprietary ‘quantamental’ investment analysis process to stock-picking, both long and short.

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

- 2.1. Information Officer: Jean Pierre Verster
- 2.2. Postal Address: 7 Northridge Avenue, Sunnyridge, Germiston 1401, South Africa
- 2.3. Street Address: 7 Northridge Avenue, Sunnyridge, Germiston 1401, South Africa
- 2.4. Telephone Number: +27 (0) 11 822 2154 / +27 (0) 63 691 2091
- 2.5. Email: info@proteacapitalmanagement.com
- 2.6. Website: www.proteacapitalmanagement.com

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 Information Regulator has complied 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. The guide is made available in all official languages on the website of the Information Regulator at the following URL: <https://info regulator.org.za/paia-guidelines/>
- 3.4. The contact details of the Information Regulator are as follows:

Address : Woodmead North Office Park, 54 Maxwell Drive Woodmead,
Johannesburg, 2191

Tel no : 010 023 5200

Email : enquiries@infoeregulator.org.za

Website : <https://infoeregulator.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. Broad-Based Black Empowerment Amendment Act 46 of 2013
- 4.4. Companies Act, 71 of 2008
- 4.5. Compensation for Occupational Injuries and Health Diseases Act, 130 of 1993
- 4.6. Copyright Act, 98 of 1978
- 4.7. Employment Equity Act, 55 of 1998
- 4.8. Financial Advisory and Intermediary Services Act, 37 of 2002
- 4.9. Financial Intelligence Centre Act, 38 of 2001
- 4.10. Income Tax Act, 95 of 1967
- 4.11. Labour Relations Act, 66 of 1995
- 4.12. Occupational Health & Safety Act, 85 of 1993
- 4.13. Skills Development Act, 9 of 1999
- 4.14. Unemployment Insurance Act, 63 of 2001
- 4.15. 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
 - 5.1.2. Pamphlets

- 5.2. Records that must be requested in terms of PAIA include:
- 5.2.1. Memorandum of Incorporation
 - 5.2.2. Minutes of Shareholder 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. Employment Equity Plan
 - 5.2.7. Training records
 - 5.2.8. Training Manuals

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

- 6.1. A requester must use the prescribed form "Form 2" (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 2 can be downloaded from the following URL: <https://inforegulator.org.za/wp-content/uploads/2020/07/InfoRegSA-PAIA-Form02-Reg7.pdf>
- 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 2 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.

The fees can be downloaded from the following URL: <https://infoeregulator.org.za/wp-content/uploads/2020/07/Form-3-PAIA.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.

Date of Compilation: **30/12/2020**, last reviewed **13/01/2026**