



A Guide to
ACCESSING OUR INFORMATION

INDEX	
Particulars in terms of section 51 of the Promotion of Access to Information Act:	
1.	Introduction
2.	Contact details
3.	The section 10 Guide on how to use the Act
4.	Records available in terms of any other legislation
5.	Access to the records held by the private body in question
	i. Information readily available, if applicable
	ii. Records that may be requested
	iii. The request procedures
6.	Other information as may be prescribed
7.	Annexure A - Form C

PAIA - Promotion of Access to Information Act

INFORMATION MANUAL IN TERMS OF SECTION 51 OF THE PROMOTION OF ACCESS TO INFORMATION ACT, 2 OF 2000 IN RESPECT OF PRIVATE CLIENT HOLDINGS (PTY) LTD (COMPANY REGISTRATION NUMBER 1997/010509/07) AND IT'S FOLLOWING SUBSIDIARIES:

- Private Client Holdings Administration (Pty) Ltd (Reg No: 1990/002661/07)
- Private Client Wealth Management (Pty) Ltd (Reg No: 1997/012036/07)
- Private Client Portfolios (Pty) Ltd (Reg No: 1971/010221/07)
- Private Client Financial Services (Pty) Ltd (Reg No: 1990/004177/07)
- Private Client Trust (Pty) Ltd (Reg No: 1991/007329/07)
- Private Client Risk (Pty) Ltd (Reg No: 1993/006825/07)

1. INTRODUCTION

Main Business

We are an authorised Financial Services Provider in terms of the FAIS Act. Our FSP licence no's are:

- Private Client Holdings (Pty) Ltd, FSP no: 613
- Private Client Wealth Management (Pty) Ltd, FSP no: 39979
- Private Client Portfolios (Pty) Ltd, FSP no: 39978

Private Client Holdings is a Wealth and Asset Management company.

Specialist Divisions: Wealth Management, Portfolio Management, Fiduciary Services, Financial Services, Risk Management, Cash Management.

PARTICULARS IN TERMS OF THE SECTION 51 MANUAL

2. Contact details

Name of Private Body: Private Client Holdings (Pty) Ltd
Directors: Grant AJ Alexander, Andrew S Ratcliffe
Postal address: PO Box 24033, Claremont, 7735
Street Address: 46 Main Road, Claremont, 7708
Telephone number: 021 671 1220
Fax number: 021 671 1149
Email address: grant@privateclient.co.za, andrew@privateclient.co.za

3. The section 10 Guide on how to use the Act

The Guide will, according to the South African Human Rights Commission (SAHRC), be available for inspection at the offices of the SAHRC. Please direct any queries to:

The South African Human Rights Commission:

PAIA Unit
The Research and Documentation Department
Postal address: Private Bag 2700, Houghton, 2041
Telephone: 011 484 8300
Fax: 011 484 7146
Website: www.sahrc.org.za
E-mail: PAIA@sahrc.org.za

4. Records available in terms of any other legislation

1. Administration of Estates Act, No. 66 of 1965
2. Basic Conditions of Employment No. 75 of 1997
3. Close Corporations Act No. 69 of 1984
4. Companies Act No. 61 of 1973
5. Financial Services Board Act No. 97 of 1990
6. Income Tax Act No. 95 of 1967
7. Long Term Insurance Act No. 52 of 1998

8. Public Accountants ' and Auditors' Act
9. Stock Exchange Control Act No. 1 of 1985
10. Value Added Tax Act No. 89 of 1991

5. Access to the records held by Private Client Holdings (Pty) Ltd and its Subsidiaries

i. Information readily available:

- FSP Licences
- PCWM Mandate

ii. Records that may be requested:

Administration

- Correspondence
- Licences
- Minutes of management meetings
- Minutes of staff meetings

Constitution

- List of directors
- Minute books and resolutions
- Power of attorney agreements
- Share Register
- Shareholders' Agreements
- Statutory registers

Finances

- Annual financial statements
- Assets Register
- Banking details
- Bank statements
- Financial statements
- Stock records

Human Resources

- Disciplinary records and documentation pertaining to disciplinary proceedings
- Employee code of conduct
- Employment contracts
- Employment equity plan
- Personnel Files
- Remuneration records and policies
- Staff recruitment policies

Incorporation Documents

- Incorporation forms
- Memorandum and articles of association

Information Technology

- Computer software support and maintenance agreements
- Software licence agreements
- Agreements in respect of computer hardware
- Agreements with Internet Service Providers

Operations

- Production records
- Register of clients
- Sales records
- Specific types of work done and records related to it

iii. The request procedures:

Form of request:

- The requester must use the prescribed form to make the request for access to a record. This must be made to the head of the private body. This request must be made to the address, fax number or electronic mail address of the body concerned.
- The requester must provide sufficient detail on the request form to enable the director of the private body to identify the record and the requester. The requester should also indicate which form of access is required. The requester should also indicate if any other manner is to be used to inform the requester and state the necessary particulars to be so informed.
- The requester must identify the right that is sought to be exercised or to be protected and provide an explanation of why the requested record is required for the exercise or protection of that right.
- If a request is made on behalf of another person, the requester must then submit proof of the capacity in which the requester is making the request to the satisfaction of the director of the private body.

Fees: *(The fee structure is available on SAHRC website: www.sahrc.co.za)*

- A requester who seeks access to a record containing personal information about that requester is not required to pay the request fee. Every other requester, who is not a personal requester, must pay the required request fee:
- The director of the private body must notify the requester (other than a personal requester) by notice, requiring the requester to pay the prescribed fee (if any) before further processing the request.
- The requester must pay the prescribed fee (if applicable). The requester may lodge an application to the court against the tender or payment of the request fee.
- After the director of the private body has made a decision on the request, the requester must be notified in the required form.
- 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 hours to search and prepare the record for disclosure.

6. Other information as may be prescribed

The Minister of Justice and Constitutional Development has not made any regulations in this regard.

Annexure A - FORM C

REQUEST FOR ACCESS TO RECORD OF PRIVATE BODY

(Section 53(1) of the Promotion of Access to Information Act, 2000
(Act No. 2 of 2000)
[Regulation 10]

A. Particulars of private body

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 <i>ONLY</i> if a request <i>for information</i> is made on behalf of <i>another</i> 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.
<i>The requester must sign all the additional folios.</i> |

1. Description of record or relevant part of the record:
2. Reference number, if available:
3. Any further particulars of record:

E. Fees (refer to prescribed fees on the website of SAHRC under the link "access to information / PAIA")

- | | |
|-----|--|
| (a) | A request for access to a record, other <i>than</i> a record containing personal information about yourself, will be processed only after a request fee has been paid. |
| (b) | You will be <i>notified</i> of the amount required to be paid as the request fee. |
| (c) | The fee payable for access to a record depends <i>on</i> the form <i>in which</i> access is required and the reasonable time <i>required</i> to search for and prepare a record. |
| (d) | If you qualify for exemption <i>of</i> the payment <i>of</i> 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 for 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		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		listen to the soundtrack audio cassette
4. If record is held on computer or in an electronic or machine-readable form:			
	printed copy of record*		copy in computer readable form*
'If you requested a copy or transcription of a record (above), do you wish the copy or transcription to be posted to you? Postage is payable.			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:
2.	Explain why the record requested is required for the exercise or protection of the aforementioned right:
<hr/> <hr/> <hr/>	

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 of20

Signature of requester / person on whose behalf request is made.