



PROMOTION OF ACCESS TO INFORMATION ACT MANUAL

Rozendal Partners (Pty) Ltd
2017/035477/07



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1. INTRODUCTION

- 1.1. Rozendal Partners (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 48271.
- 1.2. Rozendal Partners (Pty) Ltd was incorporated on 26/01/2017 (Reg number: 2017/035477/07) and provides investment advice to local and offshore funds. The company is owned and operated by its founding partners and a portion of the firm's equity will be owned by seed investors.

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

Information Officer: Ms. Madeleine Kyndell
Postal Address: 102 Buitenkloof Studios, 8 Kloof Street, Gardens, Cape Town, 8001
Street Address: Same as postal
Telephone Number: +27 21 286 6716
Email: info@rozendal.com
Website: www.rozendal.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 South African Human Rights Commission (SAHRC) 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.
- 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. Companies Act, 71 of 2008
- 4.2. Financial Advisory and Intermediary Services Act, 37 of 2002
- 4.3. Financial Intelligence Centre Act, 38 of 2001
- 4.4. Collective Investment Schemes Control Act, 45 of 2002

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. Radio- and television interviews
 - 5.1.2. Minimum Disclosure Documents for all Rozendal funds
 - 5.1.3. Conflict of Interest Policy & Personal Dealings
 - 5.1.4. Complaints Policy



- 5.1.5. Treating Clients Fairly Policy
- 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/compliance officer and other officers
 - 5.2.4. Share Register
 - 5.2.5. Annual Financial Statements
 - 5.2.6. PAYE Records and payments on behalf of employees
 - 5.2.7. Skills Development Levies
 - 5.2.8. UIF
 - 5.2.9. Training records
 - 5.2.10. Risk Management Compliance Plan

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:
https://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 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 will be made available on the website of the company in due course.

Name :

Signature :

Designation :

Signed on this day ofat

Date of Compilation: _____

Date updated: _____

Version Control: _____