



INFINOX CAPITAL LIMITED SA (PTY) LTD
2018/616118/07

THE PROMOTION OF ACCESS TO INFORMATION ACT

An authorised Financial Services Provider FSP No: 50506

JULY 2022

Table of Contents

| | |
|---|---|
| 1. Introduction | 3 |
| 2. Company Contact Details | 3 |
| 3. The Act | 4 |
| 4. Application Legislation | 4 |
| 5. Schedule of Records | 5 |
| 6. The Procedure for requesting our records | 6 |
| 7. Fees Payable for requesting our records | 6 |
| 8. Availability and updating our manual | 6 |
| 9. ANNEXURE A - Fees in Respect of Private Bodies | 7 |
| 10. Form C | 8 |
| 11. Document Metadata | 9 |

1. Introduction

INFINOX CAPITAL LIMITED SA (Pty) LTD (hereinafter referred to as the “FSP”) is an authorized Financial Services Provider or “Applicant Financial Services Provider”.

The Corporate Governance Policy sets out the framework on which the FSP’s corporate governance structures and processes are based. The Corporate Governance Policy sets out the decision-making structures of the FSP and how the decision-making structures support and assess one another to achieve the King IV objectives of ethical leadership and effective leadership. It is also to facilitate the governance of the organisation in a fair, transparent, responsible, accountable, and ethical manner by the board, management and all personnel. The framework will imbed the principles of Treating Customers Fairly (TCF) that run through the recently promulgated Fit and Proper requirements.

2. Company Contact Details

Regional Director – Africa / Information Officer: Dany Mawas

Postal Address: Oxford & Glenhove Building 2,
3rd Floor, 114 Oxford Road,
Rosebank, Johannesburg, 2196

Street Address: Oxford & Glenhove Building 2,
3rd Floor, 114 Oxford Road,
Rosebank, Johannesburg, 2196

Telephone Number: +27 10 446 0249

Fax Number: None

Email: dany.mawas@infinox.com

3. The Act

3.1 The ACT grants a requester access to records of a private body, if the record is required for the exercise or protection of any rights. If a public body lodges a request, the public body must be acting in the public interest.

3.2 Requests in terms of the ACT shall be made in accordance with the prescribed procedures, at the rates provided. The forms and tariff are provided herein as stipulated by the Act.

Requesters are referred to the Guide in terms of Section 10 which has been compiled by the South African Human Rights Commission, which will contain information for the purposes of exercising Constitutional Rights.

The guide can be obtained upon request during normal working hours from:

- the Information officer of “Infinox Capital Limited SA” including the office of the regulator. Details of the information officers are provide below:
Information Officer – Dany Mawas - dany.mawas@infinox.com
Deputy Information Officer- Catia Merola –catia.merola@infinox.com
- the website of the Regulator (<https://www.justice.gov.za/inforeg/>)

3.3 The contact details of the Commission are:

Postal Address: Private Bag 2700, Houghton, 2041
Telephone Number: +27-11-877 3600
Fax Number: +27-11-403 0625
Website: www.sahrc.org.za

4. Application Legislation

| <u>No</u> | <u>Ref</u> | <u>Act</u> |
|-----------|---------------|-----------------------|
| 1 | No 61 of 1973 | Companies Act |
| 2 | No 98 of 1978 | Copyright Act |
| 3 | No 55 of 1998 | Employment Equity Act |
| 4 | No 95 of 1967 | Income Tax Act |
| 5 | No 66 of 1995 | Labour Relations Act |
| 6 | No 89 of 1991 | Value Added Tax Act |

| | | |
|----|---------------|--|
| 7 | No 37 of 2002 | Financial Advisory and Intermediary Services Act |
| 8 | No 75 of 1997 | Basic Conditions of Employment Act |
| 10 | No 25 of 2002 | Electronic Communications and Transactions Act |
| 11 | No 2 of 2000 | Promotion of Access of Information Act |
| 12 | No 30 of 1996 | Unemployment Insurance Act |

5. Schedule of Records

| <u>Records</u> | <u>Subject</u> | <u>Availability</u> |
|---|--|---|
| Administration | <ul style="list-style-type: none"> • License information | Available on INFINOX Website |
| Human Resources | <ul style="list-style-type: none"> • Employment Contracts • Remuneration Records and Policies • Records of Disciplinary Hearings • Staff Salaries and Benefits | From Information Officer upon request |
| Operations – business conducted by FSP | <ul style="list-style-type: none"> • Information on trading history of c | From Information Officer upon request |
| Client Registry | <ul style="list-style-type: none"> • Particulars of client | From Information Officer upon request |
| Public Affairs | <ul style="list-style-type: none"> • Public Product Information • Public Corporate Records • Media Releases | Freely available on web site www.infinox.com/fsca/en |
| Financial | <ul style="list-style-type: none"> • Financial Statements • Financial and Tax Records(Company & Employees) • Asset Register • Management Accounts | Proprietary (Pty Ltd) - Request in terms of PAIA. Not available. |
| Marketing | <ul style="list-style-type: none"> • Public Customer Information: <ul style="list-style-type: none"> ○ Product Brochures ○ Owner Manuals | Limited Information available on web site. www.infinox.com/fsca/en |

6. The Procedure for requesting our records

- The requester must use the prescribed form to make the request to access a record.
- This must be made to our Information Officer.
- The request must be made to our postal address, fax number or e-mail address contained herein.
- The requester must provide sufficient detail on the request form to enable the Information Officer to identify the record and the requester.
- The requester must also indicate which form of access is required and specify its postal address or fax number in the Republic.
- The requester must identify the right that is sought to be exercised or to be protected and provide an explanation as to why the requested record is required for the exercise of that right.
- If the request is made on behalf of another person, the requester must submit proof of the capacity in which the requester is making the request to the satisfaction of the Information Officer
- The requester must use the prescribed **Form C** annexed to the manual to make the request for access to a record. This must be made to the Information Officer.
- Please see Annexure B for Form C.

7. Fees Payable for requesting our records

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 Information Officer 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 a fee outlined in Annexure A. The requester may lodge an application to court against the tender or payment of the request fee.
- After the Head of our Organisation has made a decision on the request, the requester will be notified in the required form.
- If the request is granted, a further access fee must be paid for the search, reproduction, and for any time that has exceeded the prescribed hours to search and prepare the record for disclosure.

8. Availability and updating our manual

This Manual can be viewed on our website, or is available for inspection free of charge at our above physical address. The Information Officer will update the manual on a regular basis.

9. ANNEXURE A - Fees in Respect of Private Bodies

Fees in Respect of Private Bodies

| Item | Description | Amount |
|------|--|---------------------------------|
| 1. | The request fee payable by every requester | R140.00 |
| 2. | Photocopy/printed black & white copy of A4-size page | R2.00 per page or part thereof. |
| 3. | Printed copy of A4-size page | R2.00 per page or part thereof. |
| 4. | For a copy in a computer-readable form on: | |
| | (iii) Flash drive (to be provided by requestor) | R40.00 |
| | (iv) Compact disc | |
| | If provided by requestor | R40.00 |
| | If provided to the requestor | R60.00 |
| 5. | For a transcription of visual images per A4-size page Service to be outsourced. Will depend on quotation from Service provider. | |
| 6. | Copy of visual images - Service to be outsourced. Will depend on quotation from Service provider. | |
| 7. | Transcription of an audio record, per A4-size page | R24.00 |
| 8. | Copy of an audio record on: | |
| | (v) Flash drive (to be provided by requestor) | R40.00 |
| | (vi) Compact disc | |
| | If provided by requestor | R40.00 |
| | If provided to the requestor | R60.00 |
| 9. | To search for and prepare the record for disclosure for each hour or part of an hour, excluding the first hour, reasonably required for such search and preparation. R145.00 | |
| | To not exceed a total cost of | R435.00 |
| 10. | Deposit: If search exceeds 6 hours, a fee equal to one third of amount per request calculated in terms of items 2 to 8. | |
| 11. | Postage, e-mail or any other electronic transfer | Actual expense, if any.”. |

10. Form C

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 11]

A. Particulars of private body

The Head:

B. Particulars of person requesting access to the record

- | |
|--|
| <p>a) The particulars of the person who requests access to the record must be reported below.</p> <p>b) <i>Furnish an address and/or fax number in the Republic to which information must be sent.</i></p> <p>c) <i>Proof of the capacity in which the request is made, if applicable, must be attached.</i></p> |
|--|

Full names and surname: _____

Identity number _____

Postal address: _____

_____ Fax number: _____

Telephone number: _____ E-mail address: _____

11. Document Metadata

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|--|---------------------|
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