

PROMOTION OF ACCESS TO INFORMATION ACT MANUAL



OYSTER CATCHER INVESTMENTS (PTY) LTD

2019/227625/07

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1. DEFINITIONS

- 1.1. **Data Subject** means the person to whom the Personal Information relates;
- 1.2. **FAIS Act** means the Financial Advisory and Intermediary Services Act, No. 37 of 2002;
- 1.3. **FSCA** means the Financial Sector Conduct Authority;
- 1.4. **FSP** means financial services provider;
- 1.5. **Information Regulator** means the Office of the Information Regulator as established in terms of section 39 of POPIA, to monitor and enforce compliance with both POPIA and PAIA;
- 1.6. **PAIA** means the Promotion of Access to Information Act No. 2 of 2000, as amended;
- 1.7. **Personal Information** means any information relating to an identifiable natural person, or to the extent applicable, a juristic person. This includes, but is not limited to information relating to race, gender, sex, pregnancy, marital status, ethnic and social origin, colour, sexual orientation, age, physical or mental health, religion, disability, language, information relating to educational, medical, financial, criminal or employment history, any identifying number, email address, physical address, telephone number, location information, online identifier or biometric Personal Information;
- 1.8. **POPIA** means the Protection of Personal Information Act No.4 of 2013;
- 1.9. **Process or Processing** means any activity concerning Personal Information including the collection, receipt, recording, organisation, collation, storage, updating or modification, retrieval, alteration, consultation or use, dissemination by means of transmission, distribution or making available in any other form, or merging, linking, as well as restriction, degradation, erasure or destruction of information;
- 1.10. **Record/s** means any recorded information regardless of the form, including, for example, written documents, audio, digital and video materials. A Record requested from a public or private body refers to a Record that is in that body's possession regardless of whether that body created the Record;
- 1.11. **Responsible Party** means a public or private body or any other person which, alone or in conjunction with others, determines the purpose of and means for Processing Personal Information.

2. INTRODUCTION

- 2.1. Oyster Catcher Investments (Pty) Ltd is an authorised FSP in terms of the FAIS Act and is regulated by the FSCA. The FSP number is 50509.
- 2.2. OCI is registered Financial Services Provider "FSP" that manages alternative and long only funds for retail and institutional investors

3. PURPOSE OF PAIA MANUAL

- 3.1. This PAIA Manual may be used by the public to:
 - 3.1.1. check the categories of Records held by the FSP that are available without having to submit a formal PAIA request;
 - 3.1.2. understand how to make a request for access to a Record of the FSP, by providing a description of the subjects on which the FSP holds Records and the categories of Records held on each subject;
 - 3.1.3. know which Records of the FSP are available in accordance with other legislation;
 - 3.1.4. access the relevant contact details of the persons who will assist the public with the Records they intend to access;
 - 3.1.5. know where to access the Information Regulators guide on how to use PAIA;
 - 3.1.6. know whether the FSP will process personal information, for what purpose personal information is processed and the description of the categories of data subjects and of the information or categories of information relating thereto;
 - 3.1.7. know the recipients or categories of recipients to whom the personal information may be supplied;
 - 3.1.8. know if the FSP has planned to transfer or process personal information outside the Republic of South Africa and the recipients or categories of recipients to whom the personal information may be supplied; and
 - 3.1.9. know whether the FSP has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

4. COMPANY CONTACT DETAILS

Head Office Physical Address: 99 11th Street, Parkmore, Sandton, 2196

Head Office Postal Address: 99 11th Street, Parkmore, Sandton, 2196
Telephone No.: 010 013 1122
E-mail: jonathan@oystercatcherinvestments.co.za
Website: www.oystercatcherinvestments.co.za
Information Officer: Jonathan Paul du Toit
Tel no.: 010 013 1122
E-mail: jonathan@oystercatcherinvestments.co.za

5. ACCESS TO RECORDS

- 5.1. 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.
- 5.2. 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 sections 6 and 7.
- 5.3. The contact details of the Information Regulator are as follows:
Postal Address: : PO Box 31533, Braamfontein, Johannesburg, 2017
E-mail address : infoereg@justice.gov.za
Website : <https://infoeregulator.org.za/>
- 5.4. The Information Regulator has, in terms of section 10(1) of PAIA, as amended, made available a Guide on how to use PAIA (the Guide), in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in PAIA and POPIA. The Guide is available in each of the official languages and in braille, and can be obtained from the Information Regulator's website at <https://infoeregulator.org.za/paia-guidelines/>

If your PAIA request is denied, or there is no response from a public or private body for access to Records, a complaint can be lodged with PAIAComplaints@infoeregulator.org.za

6. SCHEDULE OF RECORDS

6.1. Records that are available without having to submit a request in terms of PAIA:

- Marketing material
- Pamphlets
- Investment Application Forms

6.2. Records that must be requested in terms of PAIA:

6.2.1. Company Records

- Memorandum of Incorporation
- Minutes of Board of Directors meetings
- Records relating to the appointment of directors/ auditor/secretary/public officer and other officers
- Share Register and other statutory registers

6.2.2. Company Accounting and Financial Records

- Annual Financial Statements
- Tax Returns
- Accounting Records
- Banking Records
- Asset Register
- Rental Agreements
- Invoices

6.2.3. Customer Related Records

"Customer" refers to any natural or juristic entity that receives services from OCI

- Records provided by a customer to OCI or a third party acting for or on behalf of OCI (including the Manco of a Collective Investment Scheme)
- Records generated by or within OCI relating to its customers including transactional records.

6.2.4. Other Party Records

- Personnel, customer or private body records which are held by another party, as opposed to OCI itself.
- Records held by OCI pertaining to other parties, including without limitation, financial records, correspondence contractual records, records provided by the other party, and records third parties have provided about contractors/suppliers.

6.2.5. Personnel Records

“Personnel” refers to any person who works for, or provides services to or on behalf of OCI, and receives or is entitled to receive remuneration and any other person who assists in carrying out or conducting the business of OCI. This includes, without limitation directors (executive and non-executive), representatives, all permanent, temporary and part-time staff, as well as contract workers.

- PAYE Records
- Documents issued to employees for income tax purposes
- Records of payments made to SARS on behalf of employees
- Skills Development Levies
- UIF
- Employment contracts
- Employment Equity Plan
- Medical Aid records
- Pension Fund records
- Disciplinary records
- Salary records
- Disciplinary code
- Leave records
- Training records
- Training Manuals

7. FORM OF A REQUEST FOR INFORMATION

- 7.1. A requester must use the prescribed Form 2 to request access to the information as per paragraph 6 above.
- 7.2. Form 2 can be accessed at the following URL: <https://infoeregulator.org.za/paia-forms/>
- 7.3. The request must be addressed to the Information Officer as indicated in clause 4.
- 7.4. The requester must provide sufficient detail on Form 2 to enable the Information Officer of the company to establish who is requesting the said information as well as what information is being requested and in what format.
- 7.5. 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.
- 7.6. 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.
- 7.7. After the company has decided on the request, the requester must be notified in the required form.
- 7.8. 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. A Form 3 needs to be completed, which can be accessed at the following URL: <https://infoeregulator.org.za/paia-forms/>
- 7.9. If the request is refused in terms of either the mandatory or discretionary grounds of refusal, the FSP must notify the requester thereof.

8. PRESCRIBED FEES

- 8.1. A requester who seeks access to a Record containing Personal Information about that requester is not required to pay a request fee.
- 8.2. Every other requester, who is not a personal requester, must pay the required request fee, as prescribed from time to time.
- 8.3. 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.

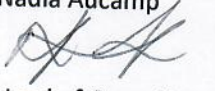
- 8.4. Records may be withheld until the fees have been paid.
- 8.5. Fees applicable in respect of private bodies are as per Annexure B of the regulations to PAIA.

9. PROCESSING OF PERSONAL INFORMATION IN TERMS OF PoPIA

- 9.1. The FSP may be required to Process Personal Information in terms of PoPIA.
- 9.2. A Data Subject is entitled to access the Personal Information held by a Responsible Party, including information about the identity of all third parties, or categories of third parties, who have, or have had, access to the Personal Information.
- 9.3. To view the FSPs Privacy Policy, contact the Information Officer as per clause 4.

10. AVAILABILITY OF THE MANUAL

- 10.1. This manual is available for inspection at the offices of the company during normal business hours free of charge upon prior arrangement with the Information Officer of the company as per clause 4.
- 10.2. A copy is also made available on the website of the FSP.

Name : Nadia Aucamp
Signature : 
Designation : Head of Operations

Signed on this day of 23/11/2023 at Parkmore

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