

SECTION 51 MANUAL FOR GRYPHON ASSET MANAGEMENT (PTY) LTD

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INTRODUCTION TO GRYPHON ASSET MANAGEMENT (PTY) LTD

We are in the business of primary financial asset management and related services.

Our initial business focus is on retirement funds, unit trust asset management, third party funds, structured finance, structured products and all the necessary support services.

PARTICULARS IN TERMS OF THE SECTION 51 MANUAL

1. Contact details [Section 51(1)(a)]

Address: 1st Floor Bonitas Office Park East Carl Cronje Drive Tyger Valley, 7536

Tel : 27 21 915 5100

Fax : 27 21 915 5111

Website: www.gryphon.com

E-mail address: info@gryphon.com

Chief Executive Officer: Hans de Nysschen

2. The section 10 Guide on how to use the Act [Section 51(1)(b)]

The Guide will be available from the South African Human Rights Commission by not later than August 2003.

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: +27 11 484-8300

Fax: +27 11 484-0582

Website: www.sahrc.org.za

E-mail: PAIA@sahrc.org.za

3. Records available in terms of any other legislation [Section 51(1)(c)]

1. Basic Conditions of Employment No. 75 of 1997
2. Broad-Based Black Economic Empowerment Act No.46 of 2013
3. Companies Act No. 71 of 2008
4. Consumer Protection Act No. 68 of 2008
5. Collective Investment Schemes Act No. 45 of 2002
6. Credit Rating Services Act No.24 of 2012
7. Currency and Exchanges Act No. 9 of 1933
8. Employment Equity Act No. 47 of 2013
9. Financial Intelligence Centre Act No.11 of 2008
10. Financial Services Board Act No. 97 of 1990
11. Financial Markets Act, No. 19 of 2012
12. Harmful Business Practices Act No. 23 of 1999
13. Income Tax Act No. 95 of 1967
14. Labour Relations Act No. 6 of 2014
15. Occupational Health & Safety Act No. 85 of 1993
16. Pension Funds Act No. 24 of 1956
17. Protection of Personal Information Act No. 4 of 2013
18. Regional Services Councils Act No. 109 of 1985

19. SA Reserve Bank Act No. 90 of 1989
20. Skills Development Levies Act No. 9 of 1999
21. Skills Development Act No. 97 of 1998
22. Securities Transfer Tax Act No.25 of 2007
23. Stock Exchange Control Act No. 1 of 1985
24. Tax on Retirement Funds Act No. 38 of 1996
25. Unemployment Contributions Act No. 4 of 2002
26. Unemployment Insurance Act No. 10 of 2016
27. Value Added Tax Act No. 89 of 1991

4. Access to the records held by the private body in question [Sections 51(1)(c) and 51(1)(e)]

i. The latest notice regarding the categories of records of the body, which are available without a person having to request access in terms of this Act in terms of section 52(2) [Section 51(1)(c)]

Not applicable

ii. Records that may be requested. A description of the subjects of the records held by the body and the categories in which these subjects are classed [Section 51(1)(e)]

CLASSIFICATION OF RECORDS:

Administration: (subject)

- Registration
- Licences (categories)
- Minutes of management meetings
- Minutes of staff meetings
- Minutes of Board Meetings
- Correspondence

Human Resources:

- Staff recruitment policies
- Employment contracts
- Remuneration records and policies
- Pay administration

Operations:

- Investor records
- Portfolio records
- Transaction Records
- Client records
- Client reports
- Compliance records
- Agreements with Clients, Suppliers and other related documentation

Finances:

- Financial statements
- Annual financial statements
- Vouchers
- Assets inventory

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 [s 53(1)].
- The requester must provide sufficient detail on the request form to enable the head 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 [s 53(2)(a) and (b) and (c)].
- 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 [s 53(2)(d)].
- 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 head of the private body [s 53(2)(f)].

Fees:

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 head 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 [s 54(1)].
- The fee that the requester must pay to a private body is R50. The requester may lodge an application to the court against the tender or payment of the request fee [s 54(3)(b)].
- After the head 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 [s 54(6)].

5. Other information as may be prescribed [Section 51(1)(f)]

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

6. Availability of the manual [Section 51(3)]

The manual is also available for inspection at the offices during offices hours of the Gryphon Asset Management (Pty) Ltd free of charge; and copies are available with the SAHRC, in the Gazette and on the website.