RSB (PTY) LTD

ROCK SOLID BROKERS

PAIA MANUAL

2026

Company Name:	**Rock Solid Broker**
FSP No:	**44234**
Registration No:	**2012/086882/07**

INFORMATION OFFICER'S SIGNATURE

Jeanne Delport
Signature

02/06/2026
Date

INTEGRITY | COMMITMENT | RELIABILITY

PROMOTION OF ACCESS TO INFORMATION ACT NO. 2 OF 2000
(HEREINAFTER REFERRED TO AS THE "ACT")

MANUAL FOR ROCK SOLID BROKERS (PTY) LTD

REGISTRATION: 2012/086882/07

Prepared in terms of Section 51 of the Promotion of Access to Information Act No. 2 of 2000

1. DEFINITIONS

"CEO" means the chief executive officer.
"DIO" means the Deputy Information Officer.
"Information Officer" or "IO" means the person that is responsible for discharging the duties and responsibilities assigned to the "head" of the private institution, such as the managing director or any person duly appointed by the managing director.
"Information Regulator" means the Information Regulator established in terms of section 39 of the Protection of Personal Information Act, 2013;
"Other Requester" means any person making a request for access to a record.
"Personal information" means information relating to an identifiable natural person. Non-natural or juristic persons are not included, and the information of any person who has been dead for more than 20 years is also excluded. This includes:

- information relating to a person's race, gender, sex, pregnancy, marital status, national, ethnic or social origin, colour, sexual orientation, age, physical or mental health, well-being, disability, religion, conscience, belief, culture, language and birth
- information relating to a person's education, medical, financial, criminal or employment history
- any identifying number (eg. ID, Policy, Passport), symbol, e-mail address, physical address, telephone number, location information, online identifier or other particular assignment to a person
- biometric information
- personal opinions, views or preferences of the person
- correspondence sent by the person that is implicitly or explicitly private or confidential or further correspondence that would reveal the contents of the original correspondence
- views or opinions of another individual about the person

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• the name of the person if it appears with other personal information relating to the person or if the disclosure of the name itself would reveal information about the person

“Personal Requester” means any person making a request for access to a record containing personal information about the requester.

"Private body" is defined as any natural person who carries or has carried on any trade, business or profession, but only in such capacity or any partnership which carries or has carried on any trade, business or profession or any former or existing juristic person (e.g. any company, close corporation or business trust).

“Requester” means any person making a request for access to a record.

2. INTRODUCTION

The Promotion of Access to Information Act gives effect to the constitutional right of access to any information held by the state or another person that is required for the exercise or protection of any rights.

Section 51 (1) of the Act: The head of a private body or the Information officer must, within six months after coming into existence, compile a manual that contains information regarding the subjects and categories of records held.

This PAIA Manual is useful for the public to -

1.1 check the categories of records held by a body which are available without a person having to submit a formal PAIA request;

1.2 have a sufficient understanding of how to make a request for access to a record of the body, by providing a description of the subjects on which the body holds records and the categories of records held on each subject;

1.3 know the description of the records of the body which are available in accordance with any other legislation;

1.4 access all the relevant contact details of the Information Officer and Deputy Information Officer who will assist the public with the records they intend to access;

1.5 know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;

1.6 know if the body will process personal information, the purpose of processing of personal information and the description of the categories of data subjects and of the information or categories of information relating thereto;

1.7 know the description of the categories of data subjects and of the information or categories of information relating thereto;

1.8 know the recipients or categories of recipients to whom the personal information may be supplied;

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1.9 know if the body 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

1.10 know whether the body has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

2. BUSINESS AND CONTACT DETAILS

Information Officer:	Jeanne Delport
Designation:	Director / KI
Postal Address:	65 Scott Street, Schoemansville, Hartbeespoort, 0216
Physical Address:	65 Scott Street, Schoemansville, Hartbeespoort, 0216
Phone Number:	012 881 6380
Email Address:	Jeanne@rocksolidbrokers.co.za
Website:	https://rocksolidbrokers.co.za/

All requests for access to information (other than information that is available to the public) must be addressed to the Information Officer.

Deputy Information Officer:	Bernard Delport
Designation:	Director / KI
Phone Number:	012 881 6380
Email Address:	bernard@rocksolidbrokers.co.za

General Enquiries:	Jeanne Delport
Email Address:	jeanne@rocksolidbrokers.co.za

3. MANUAL AND GUIDELINES

This Manual has been compiled in accordance with the regulatory provisions and to fulfil the requirements of the Act and will regularly be updated. It has been designed to be a guiding, user-friendly and accessible tool for any person who wishes to exercise any right contemplated in PAIA and the Protection of Personal Information Act, 2013. Any enquires relating to this guide should be directed to:

South African Information Regulator
Telephone 08000 17 160/ 010 023 500
https://inforegulator.org.za/
Email: enquiries@inforegulator.org.za

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4. RECORDS AVAILABLE IN TERMS OF SECTION 52(2) OF THE ACT

The head of a private body may, on a voluntary and periodic basis, submit to the Minister a description of—

a) the categories of records of the private body that are automatically available without a person having to request access in terms of this Act, including such categories available--i) for inspection in terms of legislation other than this Act;

ii) for purchase or copying from the private body;

iii) from the private body free of charge; and

b) how to obtain access to such records.

CATEGORY OF RECORDS AUTOMATICALLY AVAILABLE IN TERMS OF SECTION 52(1)(a) of PAIA

CATEGORY AND DESCRIPTION	MANNER OF ACCESS TO RECORDS (e.g. website) SECTION 52(1)(b)
FOR INSPECTION IN TERMS OF SECTION 52(1)(a)(i):	
N/A	N/A
FOR PURCHASING IN TERMS OF SECTION 52(1)(a)(ii):	
N/A	N/A
FOR COPYING IN TERMS OF SECTION 52(1)(a)(ii):	
N/A	N/A
AVAILABLE FREE OF CHARGE IN TERMS OF SECTION 52(1)(a)(iii):	
The following documents are available on the website for your reference: the License Document, Conflict of Interest Policy, Complaints Policy, and Data Protection Policy. Please refer to these documents for further information and guidance.	

5. RECORDS THAT ARE HELD AT THE OFFICES OF THE BUSINESS

The following is a list of records held at our offices:

GOVERNANCE

☒ Company incorporation & Founding documents
☒ Shareholder certificates
☒ Company structures
☒ Organisational structures
☒ Internal company departments or divisions
☒ Strategy and planning documents
☒ Trade information
☒ Risk Management planning and reports

☒ Official/Legal/Licenses
☒ Legislation
☒ Legal opinions
☒ Statutory Returns

ADMINISTRATION

☒ Correspondence
☒ Minutes of Management Meetings
☒ Minutes of Staff Meetings

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HUMAN RESOURCES

- ☒ Conditions of Service
- ☒ Employee Records
- ☒ Employment Contracts
- ☒ General Correspondence
- ☒ Performance Appraisals
- ☒ Personnel Guidelines, Policies and Procedures
- ☒ Remuneration Records and Policies
- ☒ Statutory Records
- ☒ Training Records

INFORMATION TECHNOLOGY

- ☐ IT Policies and Procedures

OPERATIONS

- ☒ Client and Customer Registry
- ☒ Client contracts
- ☒ General Correspondence
- ☒ Suppliers' Registry
- ☒ Supplier Contracts
- ☒ Service level agreements
- ☒ Vendor contracts
- ☒ Procurement information
- ☒ Operational records
- ☒ Internal frameworks, policies and procedures
- ☒ Complaints & compliance

FINANCES

- ☒ Annual Financial Statements
- ☒ Asset Register
- ☒ Banking Records
- ☒ Budgets
- ☒ Contracts
- ☒ Financial Transactions
- ☒ General Correspondence
- ☒ Insurance Information
- ☒ Management Accounts
- ☒ Purchase and Order Information
- ☒ Tax Records (company & employee)

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STATUTORY RECORDS:

Records (if any) held in terms of:

- ☒ Basic Conditions of Employment 75 of 1997
- ☒ Broad Based Black Economic Empowerment Act
- ☒ Companies Act 71 of 2008
- ☒ Compensation for Occupational Injuries and Health Diseases Act 130 of 1993
- ☒ Competition Act No. 89 of 1998
- ☒ Constitution of the Republic of South Africa
- ☒ Consumer Protection Act 68 of 2008
- ☒ Copyright Act 98 of 1978
- ☒ Electronic Communications and Transactions Act 25 of 2002
- ☒ Employment Equity Act 55 of 1998
- ☒ Financial Advisory and Intermediary Services Act 37 of 2002
- ☒ Financial Intelligence Centre Act 38 of 2001
- ☒ Harmful Business Practices Act 23 of 1999
- ☒ Income Tax Act 95 of 1967
- ☒ Insolvency Act 24 of 1936
- ☒ Intellectual Property Laws Amendments Act 38 of 1997
- ☒ Inspection of Financial Institutions Act 80 of 1998
- ☒ Labour Relations Act 66 of 1995
- ☒ Occupational Health & Safety Act 85 of 1993
- ☒ Prevention of Organised Crime Act 21 of 1998

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- ☒ Protection of Businesses Act 99 of 1978
- ☒ Promotion of Access to Information Act 2 of 2000
- ☒ Protection of Constitutional Democracy Against Terrorist and Related Activities Act
- ☒ Skills Development Act
- ☒ Trademarks Act
- ☒ Unemployment Contributions Act 4 of 2002
- ☒ Unemployment Insurance Act 63 of 2001
- ☒ Value Added Tax Act 89 of 19
- ☐

6. CATEGORIES OF DATA SUBJECTS

Description of the categories of Data Subjects and of the information or categories of information relating thereto

NB: Specify the categories of data subjects in respect of whom the body processes personal information and the nature or categories of the personal information being processed.

DATA SUBJECT CATEGORIES	PERSONAL INFORMATION WHICH MAY BE PROCESSED
Customers/ Clients	Application forms; policy schedules; claim documents; KYC/FICA documents; proof of identity; proof of address; risk profiles; call recordings; email correspondence; advice records; signed mandates and agreements; compliance and monitoring records; complaints records; marketing preferences; unpaid / paid transaction history.
Service Providers	Service agreements; onboarding documents; company registration records; banking verification documents; due diligence reports; database access records; contact details; confidentiality agreements; performance records; communication records.
Employees	Employment contracts; payroll records; leave records; disciplinary records; performance reviews; training records; medical certificates; pension and benefit information; tax records; biometric access records; emergency contact details; recruitment records; background screening checks; attendance registers; compliance and fit-and-proper records.

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7. PROCESSING PURPOSE

Clients (Brokers Prospective and Existing Clients, Beneficiaries, and Related Parties)
Personal information is processed for the following purposes:

- To conduct client onboarding, identification and verification in line with KYC and anti-money laundering requirements
- To comply with obligations under applicable legislation, including FAIS, FICA, tax laws, and other regulatory requirements
- To perform financial needs analysis, risk profiling, and suitability assessments
- To provide financial advice, intermediary services, and portfolio management services
- To source, structure, and implement appropriate financial products and solutions
- To facilitate transactions, policy administration, and investment management
- To engage with product suppliers, administrators, and asset managers on behalf of clients
- To maintain client records and relationship management systems
- To communicate with clients regarding products, services, updates, and regulatory disclosures
- To process and manage claims, benefits, and pay-outs, including assisting beneficiaries
- To handle client queries, complaints, and dispute resolution processes
- To comply with audit, governance, and internal control requirements
- To conduct risk management, fraud prevention, and detection activities
- To perform data analytics, research, and service improvement initiatives
- To comply with reporting obligations to regulators, including the Financial Sector Conduct Authority
- To enable business continuity, record keeping, and legal compliance processes
- To establish, exercise, or defend legal rights and obligations, including engagement with courts, legal advisors, and dispute resolution bodies

Vendors (Service Providers, Suppliers, and Business Partners)
Personal information is processed for the following purposes:

- To conduct vendor onboarding, due diligence, and risk assessments
- To verify vendor identity, ownership, and regulatory status
- To perform contract negotiation, management, and administration
- To facilitate procurement and supply chain management processes
- To process payments, invoicing, and financial administration
- To manage service delivery, performance monitoring, and service level agreements
- To ensure compliance with legal, regulatory, and governance requirements
- To conduct background checks, including sanctions screening where applicable

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- To manage access to systems, infrastructure, and facilities
- To maintain vendor records and audit trails
- To support internal and external audit processes
- To comply with tax and financial reporting obligations
- To manage disputes, claims, and contractual enforcement
- To support business continuity and operational resilience planning
- To establish, exercise, or defend legal rights, including engagement with legal representatives and courts

Staff (Employees, Contractors, Temporary Staff, and Applicants)
Personal information is processed for the following purposes:

- To conduct recruitment, selection, and onboarding processes
- To verify identity, qualifications, references, and background checks
- To comply with fit and proper requirements (where applicable in financial services)
- To manage employment contracts and employment relationships
- To administer payroll, remuneration, and employee benefits
- To comply with tax, labour, and employment legislation
- To manage leave, attendance, and performance management processes
- To support training, development, and competency requirements
- To ensure workplace health and safety compliance
- To manage disciplinary processes, grievances, and internal investigations
- To engage with labour advisors and dispute resolution bodies, including the Commission for Conciliation, Mediation and Arbitration
- To manage access to systems, infrastructure, and information security controls
- To monitor IT usage, cybersecurity, and data protection compliance
- To conduct internal audits, risk management, and governance processes
- To comply with regulatory reporting obligations
- To maintain employee records and statutory registers
- To support business continuity and operational requirements
- To establish, exercise, or defend legal rights and obligations, including litigation and dispute resolution

Personal information is processed strictly for legitimate business purposes and in accordance with applicable law. Processing is limited to what is necessary, relevant, and adequate for the purpose for which the information is collected and may include processing required to comply with legal obligations, perform contractual duties, pursue legitimate interests, or protect the rights of the organisation or data subjects.

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8. RECIPIENTS OR CATEGORIES OF RECIPIENTS TO WHOM PERSONAL DATA MAY BE SUPPLIED

CATEGORY OF PERSONAL DATA	RECIPIENTS
Identity number, names, biographical information (for verification and KYC)	Credit bureaus; Verification service providers; South African Police Services; Department of Home Affairs;
Contact details (email, telephone, address)	Product suppliers; Communication service providers; IT and CRM providers
Financial information (income, assets, liabilities, banking details)	Product suppliers, financial institutions, Administrators, Payment processors
Credit and payment history	Credit bureaus; Credit providers
Employment and remuneration information	Insurers; Employee benefit administrators; Payroll providers; Employers (where applicable)
Tax information	South African Revenue Service (SARS); Tax advisors; Product suppliers
Investment, risk profile and advisory records	Product suppliers; Asset managers; Financial advisors under mandate
Medical and health information (for underwriting)	Insurers; Underwriters; Medical practitioners
Beneficiary and dependent information	Product suppliers; Trustees; Executors of estates
Qualifications and professional information	South African Qualifications Authority; Verification agencies
Criminal record information	South African Police Services; Screening providers
Communication records (emails, calls, correspondence)	Internal staff; IT providers; Compliance officers; Regulators; Legal advisors
Complaints, claims, dispute and litigation records	Legal advisors; Insurers; Ombudsman schemes; Courts; Regulators
Legal proceedings and dispute-related information	Legal representatives (attorneys and advocates); Alternative dispute resolution bodies; Courts and tribunals; Industry ombudsman schemes;
Employment-related information (disciplinary, grievance, HR records)	HR consultants, Labour law advisors, Bargaining councils
Labour dispute information	The Commission for Conciliation, Mediation and Arbitration (CCMA) and other labour dispute forums, Labour Court, and Legal representatives
Banking and transaction records	Banks; Payment service providers; Auditors; Regulators

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Digital identifiers (IP address, system logs)	IT service providers, Cybersecurity providers, Cloud hosting providers
Special personal information (where applicable)	Authorised service providers strictly in accordance with applicable law
Outsourced processing data (client, employee and information processed by third parties)	Outsourced administrators; Compliance practices; IT managed service providers; Cloud providers; Data hosting providers
Fraud prevention and risk management data	Fraud prevention agencies; Verification providers; Insurers

Personal information may be shared with:

Legal and Dispute Resolution Bodies

- Legal representatives (attorneys and advocates)
- Courts and tribunals
- Industry ombudsman schemes
- The Commission for Conciliation, Mediation and Arbitration (CCMA) and other labour dispute forums

Regulators and Supervisory Authorities
Including:

- Financial Sector Conduct Authority
- Financial Intelligence Centre
- Council of Medical Schemes
- National Credit Regulator
- SARS
- Information Regulator
- Other statutory and supervisory bodies

Outsourced Service Providers (Operators)
Personal information may be processed by third parties acting as operators, including:

- Compliance practices (outsourced compliance function)
- IT managed service providers
- Cloud and data hosting providers
- Administrators and platform providers

All such providers are subject to:

- Written operator agreements
- Confidentiality obligations
- Appropriate technical and organisational security measures

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Personal information may also be processed and shared where necessary for the establishment, exercise or defence of a legal right or obligation, including engagement with legal representatives, dispute resolution bodies, regulatory authorities, and courts of law.

9. CROSS-BORDER TRANSFERS

NB: Indicate if the body has planned transboundary flows of personal information. For example, some personal information may be stored in the cloud outside the Republic. Please specify the country in which personal information will be stored and the categories of personal information. For example:

Personal information may be transferred to, stored, or processed in jurisdictions outside of the Republic of South Africa where this is necessary for legitimate business purposes, including the use of cloud-based systems and service providers.

Microsoft 365, Google Workspace, Gmail, Google Drive, CRM-stelsels, betaalstaatstelsels, of sekere versekeraar- en verskafferplatforms

Personal information may be processed using platforms provided by global technology providers such as Microsoft 365, Google Drive, Santam online, ONE online and Old Mutual Online. These providers operate global infrastructure, and personal information may be stored or processed in data centres located in, inter alia:

- Ireland
- The Netherlands
- Germany
- Finland
- The United Kingdom
- The United States of America

Due to the nature of cloud computing and redundancy architectures, personal information may also be transferred to or accessed from other jurisdictions in which these providers maintain operations from time to time. Where personal information is transferred across borders, the organisation will ensure that:

- The recipient is subject to a law, binding corporate rules, or binding agreement that provides an adequate level of protection that upholds principles substantially similar to those contained in POPIA; or
- The data subject has consented to the transfer; or
- The transfer is necessary for the performance or conclusion of a contract between the data subject and the organisation; or
- The transfer is otherwise permitted in terms of applicable law

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Rock Solid Brokers (Pty) Ltd implements appropriate technical and organisational safeguards to protect personal information during cross-border transfers, including:

- Entering into data processing and cross-border transfer agreements with service providers
- Ensuring that service providers implement industry-standard security measures, including encryption, access controls, and data segregation
- Limiting transfers to what is necessary and proportionate for the purpose of processing
- Conducting risk-based due diligence on service providers and their international data transfer mechanisms

10. GENERAL DESCRIPTION OF INFORMATION SECURITY MEASURES TO ENSURE THE CONFIDENTIALITY, INTEGRITY, AND AVAILABILITY OF PERSONAL INFORMATION

Rock Solid Brokers (Pty) Ltd implements a combination of technical and organisational security measures designed to protect personal information against loss, unauthorised access, misuse, alteration, or destruction. These measures are aligned with applicable legal requirements, industry standards, and recognised information security practices.

11.1 Governance and Risk Management

- information security governance framework aligned to applicable regulatory requirements and industry standards
- Information security responsibility is assigned at a senior management level, with oversight and reporting to the board or equivalent governing body
- Regular risk assessments are conducted to identify, assess, and mitigate information security risks, including cyber risks
- A formal incident response and breach management process is in place

11.2 Access Control and Identity Management

- Access to personal information is restricted on a need-to-know and role-based basis
- Users are authenticated using secure login credentials
- User access rights are reviewed regularly and revoked upon termination or change of role
- Privileged access is strictly controlled, monitored, and logged
- Physical access to systems and records is restricted to authorised personnel only

11.3 Data Protection and Encryption

- Personal information is protected through encryption technologies

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- Secure communication protocols (e.g. HTTPS, TLS) are used for electronic data exchange
- Sensitive personal information is subject to enhanced protection measures

11.4 Network and System Security

- Systems are protected against malware, ransomware, and other cyber threats
- Regular patch management and system updates are performed to address vulnerabilities
- Secure configuration standards are applied to systems and devices

Where cloud-based services are utilised, Rock Solid Brokers (Pty) Ltd relies on providers that implement industry-standard security controls, certifications, and safeguards.

11.5 Data Lifecycle Management

- Personal information is collected, processed, stored, and disposed of in accordance with defined data lifecycle management practices
- Records are retained in line with legal and regulatory retention requirements
- Secure methods are used for the destruction or anonymisation of personal information when no longer required

11.6 Backup, Business Continuity and Disaster Recovery

- Regular data backups are performed and securely stored
- Backup data is tested periodically to ensure recoverability and integrity
- A Business Continuity Plan (BCP) and Disaster Recovery Plan (DRP) are maintained and tested

11.7 Third-Party and Operator Management

- Third-party service providers (“operators”) are subject to due diligence assessments prior to engagement
- Written agreements are in place to ensure that operators implement appropriate security measures and process personal information only under instruction
- Ongoing monitoring of service providers is conducted to ensure continued compliance
- Cross-border transfers are subject to appropriate safeguards and contractual protections

11.8 Staff Awareness and Training

- Employees and contractorsreceive regular training and awareness programmes on data protection, cybersecurity,and information security practices
- Staff are required to adheretoconfidentiality obligations and internal policies
- Disciplinary processes areinplace for non-compliance with security requirements

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11.9 Incident Management and Breach Notification

- Security incidents are identified, reported, and managed through a formal incident response process
- Breaches involving personal information are assessed and, where required, reported to the Information Regulator and affected data subjects in accordance with applicable law
- Root cause analysis and remediation measures are implemented following incidents

11.10 Continuous Improvement

- Rock Solid Brokers (Pty) adopts a continuous improvement approach to information security
- Security measures are regularly reviewed and enhanced in response to:
    - o Emerging threats
    - o Technological developments
    - o Regulatory changes
- Independent assessments, audits, or reviews may be conducted to evaluate the effectiveness of controls

While Rock Solid Brokers (Pty) Ltd implements appropriate, reasonable technical and organisational measures to safeguard personal information, no method of transmission over the internet or electronic storage is completely secure. Accordingly, the organisation does not guarantee absolute security but undertakes to continuously enhance its safeguards in line with evolving risks and industry best practice.

11. INFORMATION REQUEST PROCEDURE

Any person who requires information for the exercise or protection of any rights may request information from a private body.

Personal requester: In relation to a personal requester, we will voluntarily provide the requested information or give access to any record with regard to the requester's personal information without the requester having to pay an access fee, but the prescribed fees for reproduction of the information requested will be charged.

Third party requester: In relation to any other requester, they are entitled to request access to information relating to a third party/ parties. However, we are not obliged to voluntarily grant access.

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The requester must fulfil the prerequisite requirements for access in terms of the Act, including payment of the relevant fees.

- The requester must use the prescribed form to make the request for access to a record. A request form is available from our offices.
- The request must be made to the Information Officer named in Section 2 above. This request must be made to the address, fax number or electronic mail address of the business.
- The requester must provide sufficient detail on the request form to enable the Information Officer to identify the record and the requester. The requester should also indicate which form of access is required.
- The requester should indicate if any other manner should be used to inform the requester. If this is the case, please furnish the necessary particulars to be so informed.
- The requester must identify the right that is sought to be exercised or to be protected and must 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 submit proof of the capacity in which the requester is making the request to the satisfaction of the Information Officer.
- The prescribed request fee must be attached.

30 days response: We will respond to your request within 30 days of receiving the request by indicating whether your request for access has been granted or denied, unless the request contains considerations which may require an extension of this term.

60 days response: The 30-day period within which we must decide whether to grant or refuse the request, may be extended for a further period of up to a further 30 days if the request is for a large amount/ number of information, or the request requires a search for information held at another office and the information cannot reasonably be obtained within the original 30 day period. Should an extension be required, we will notify the requester in writing and will also provide the procedure involved should the requester wish to apply to either the Information Regulator or to a court against the extension.

Failure to respond to the requester within the thirty-day period constitutes a deemed refusal of the request.

All the information listed above should be provided, failing which the process will be delayed while the private body requests such additional information. The prescribed time periods will not commence until all pertinent information has been furnished.

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Please note that the successful completion and submission of a request for access form does not automatically allow the requestor access to the requested record. Access will be granted to a record only if the following criteria are fulfilled:

- The record is required for the exercise or protection of any right; and
- The requestor complies with the procedural requirements set out in the Act relating to a request; and
- Access to the record is not refused in terms of any ground for refusal as contemplated in Chapter 4 of Part 3 of the Act.

The Information Officer will take all reasonable steps to find a record that has been requested. If the record cannot be found or does not exist, the Information Officer will notify the requester by way of affidavit or affirmation that it is not possible to give access to the record. This is deemed to be a request refusal. If the record is later found, the requester will be given access if the request would otherwise have been granted.

IF THE REQUEST IS GRANTED:
the notification will state the applicable access fee required to be paid, together with the procedure to be followed should the requester wish to apply to court against this fee, and the form in which access will be given.

IF THE REQUEST IS DECLINED:
the notification will include adequate reasons for the decision, together with the relevant provisions of the Act relied upon and provide the procedure to be followed should the requester want to apply to court against the decision.

Section 59 provides that the Information Officer may sever a record and grant access only to that portion to which the law does not prohibit access.

If access is granted, access must be given in the form that is reasonably required by the requester, or if the requester has not identified a preference, in a form reasonably determined by the Information Officer.

12. REFUSAL OF ACCESS

Access to any record may be refused under certain limited circumstances. These include:

- The protection of personal information from unreasonable disclosure concerning any natural person;
- The protection of commercial information held concerning any third party (for example trade secrets);
- The protection of financial, commercial, scientific or technical information that may harm the commercial or financial interests of any third party;

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- Disclosures that would result in a breach of a duty of confidence owed to a third party;
- Disclosures that would jeopardize the safety or life of an individual;
- Disclosures that would prejudice or impair the security of property or means of transport;
- Disclosures that would prejudice or impair the protection of a person in accordance with a witness protection scheme;
- Disclosures that would prejudice or impair the protection of the safety of the public;
- Disclosures that are privileged from production in legal proceedings unless the privilege has been waived;
- Disclosures of details of any computer programme;
- Disclosures that will put the organisation at a disadvantage in contractual or other negotiations or prejudice it in commercial competition;
- Disclosures of any record containing any trade secrets, financial, commercial, scientific, or technical information that would harm the commercial or financial interests of (name of business)
- Disclosures of any record containing information about research and development being carried out or about to be carried out by (name of business)

INTERNAL REMEDIES

We do not have internal appeal procedures. The decision made by the Information Officer is final, and requesters will have to exercise external remedies at their disposal if the request for information is refused, and the requester is not satisfied with the answer supplied by the Information Officer.

EXTERNAL REMEDIES

A requester or third party dissatisfied with an Information Officer's decision to grant a request for information may apply to a Court (Constitutional Court, the High Court or another court of similar status) for relief within 30 days of notification of the decision. Courts that have jurisdiction over these applications are the

13. FEES

The applicable fees are prescribed in terms of the Regulations promulgated under the Act. There are two basic types of fees payable in terms of the Act.

Request Fee

The non-refundable request fee of R 50 (excluding VAT) is payable on submission of any request for access to any record. This does not apply if the request is for personal records of the requestor. No fee is payable in such circumstances.

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Access Fee

The access fee is payable prior to being permitted access to the records in the required form. The applicable fees are prescribed in terms of Part III of Annexure A as identified in Government Notice Number 187, Regulation 11.

14. MANUAL AVAILABILITY

This manual will be made available on:

- our website, at https://rocksolidbrokers.co.za/
- at the principal place of business for public inspection during normal business hours, at no charge
- to any person upon request and upon the payment of a reasonable amount
- to the Information Regulator upon request.

For hard copies, any transmission costs or postage will be for the account of the requester.

15. FEES

A. REPRODUCTION FEES (I.E. IN TERMS OF SECTION 52(3) OF THE ACT)

Where a private body has voluntarily provided the Minister with a list of categories of records that will automatically be made available to any person requesting access thereto, the only charge that may be levied for obtaining such records will be a fee for reproduction of the record in question.

DESCRIPTION	AMOUNT
• For every photocopy of an A4-size page or part thereof • For every printed copy of an A4-size page or part thereof held on a computer, electronic, or machine-readable format	1,10 0,75
• For a copy in a computer-readable form on a Stiffy Disc • For a copy in a computer-readable form on a compact disc • A transcription of visual images, for an A4-size page or part thereof • For a copy of the visual images • A transcription of an audio record, for an A4-size page or part thereof • To search for a record that must be disclosed – rate per hour or part thereof	7.50 70.00 40.00 60.00 20.00 30.00

Where a copy of a record needs to be posted, the actual postal fees will also be payable.

B. REQUEST FEES

Where a request is made for access to information on a person other than that requester, a request fee in the amount of R50,00 is payable upfront before we will further process the request received.

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C. ACCESS FEES

In terms of section 54(7) of the act, unless exempted in terms of 54(8)

An access fee is payable in instances where access is granted to a requester (other than in instances where the information has been provided automatically on a voluntary basis), unless payment of an access fee is specially excluded in terms of the Act or an exclusion is determined by the Minister in terms of Section 54 (8).

DESCRIPTION	AMOUNT
• For every photocopy of an A4-size page or part thereof • For every printed copy of an A4-size page or part thereof held on a computer, electronic, or machine-readable format	1,10 0,75
• For a copy in a computer-readable form on a Stiffy Disc • For a copy in a computer-readable form on a compact disc • A transcription of visual images, for an A4-size page or part thereof • For a copy of the visual images • A transcription of an audio record, for an A4-size page or part thereof • To search for a record that must be disclosed – rate per hour or part thereof	7.50 70.00 40.00 60.00 20.00 30.00

In accordance with Section 54(2) of the Act, upon receipt of a request for access to a record in respect of which the request for access does not apply to a personal requester, the Information Officer may request that an upfront deposit be paid before proceeding with the request.

This deposit will be calculated to be an amount that will not exceed one third of the access fee and would depend on whether the Information Officer is of the opinion that the preparation of the required records will take more than six hours to complete.

*Note: In terms of Regulation 8, Value Added Tax (VAT) Registered entities may add VAT to the prescribed fees.

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FORM 2
REQUEST FOR ACCESS TO RECORD
[REGULATION 7]

NOTE:
Proof of identity must be attached by the requester.
If requests are made on behalf of another person, proof of such authorisation must be attached to this form.

TO: The Information Officer
BruceDeane

E-mailaddress: bruced@atomcapital.co.za
Faxnumber:

Markwith an "X"

☐ Request is made in my own name
☐ The request is made on behalf of another person.

PERSONAL INFORMATION				
Full Names				
Identity Number				
Capacity in which request is made (when made on behalf of another person)				
Postal Address				
Street Address				
E-mail Address				
Contact Numbers	Tel. (B):		Facsimile:	
	Cellular:			
Full names of person onwhosebehalf request is made (if applicable):				
Identity Number				
Postal Address				
Street Address				
E-mail Address				

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Contact Numbers	Tel.(B)		Facsimile	
	Cellular			

PARTICULARS OF RECORDREQUESTED Provide full particularsoftherecordtowhich access is requested, including the reference number if that is knowntoyou,toenable the record to be located. (If the provided space is inadequate, please continueonaseparate page and attach it to this form. All additional pages must be signed.)	
Description of record or relevant part of the record:	
Reference number, if available	
Any further particulars of record	

TYPE OF RECORD (Mark the applicable box with an "X")	
Record is in written or printed form	☐
Record comprises virtual images (this includes photographs, slides, video recordings, computer-generated images, sketches, etc)	☐
Record consists of recorded words or information which can be reproduced in sound	☐
~~Record is held on a computer or in an electronic, or machine-readable form~~	☐

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FORM OF ACCESS (Mark the applicable boxwithan"X")	
Printed copy of record(includingcopiesofanyvirtual images, transcriptions and information held on computerorinanelectronicor machine-readable form)	☐
Written or printed transcriptionofvirtualimages (this includes photographs, slides, video recordings,computer-generatedimages, sketches, etc)	☐
Transcription of soundtrack(writtenorprinteddocument)	☐
Copy of record on flashdrive(includingvirtualimages and soundtracks)	☐
Copy of record on compactdiscdrive(includingvirtual images and soundtracks)	☐
~~Copy of record savedoncloudstorageserver~~	☐

MANNER OF ACCESS (Mark the applicableboxwithan"X")	
Personal inspection of record at registered address of public/private body (including listeningtorecordedwords,information which can be reproduced in sound, or informationheldoncomputerorinanelectronic or machine-readable form)	☐
Postal services to postaladdress	☐
Postal services to streetaddress	☐
Courier service to streetaddress	☐
Facsimile of informationinwrittenorprintedformat (including transcriptions)	☐
E-mail of information(includingsoundtracksifpossible)	☐
Cloud share/file transfer	☐
Preferred language (Note that if the recordisnotavailableinthelanguage you prefer, access may be granted in the languageinwhichtherecordisavailable)	☐

~~PARTICULARS OF RIGHTTOBEEXERCISEDORPROTECTED~~ If the provided spaceisinadequate,pleasecontinue on a separate page and attach it to this Form. The requestermustsignalltheadditionalpages. Indicate which rightisto	
be exercised or protected	

Explain why the recordrequestedis required for the exerciseorprotectionof the aforementionedright:	

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FEES	
a) A request fee must be paid before the request will be considered. b) You will be notified of the amount of the access fee to be paid. c) The fee payable for access to a record depends on the form in which access is required and the reasonable time required to search for and prepare a record. d) If you qualify for exemption of the payment of any fee, please state the reason for exemption	
Reason	

You will be notified in writing whether your request has been approved or denied and if approved the costs relating to your request, if any. Please indicate your preferred method of correspondence:

Postaladdress	Facsimile	Electronic communication (Please specify)

Signed at this day of 20

X

Signature of Requester / person onwhose behalf request is made

FOR OFFICIAL USE

Reference number:	
Request received by: (State Rank, Name And Surname of Information Officer)	
Date received:	
Access fees:	
Deposit (if any):	

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X

Signature of Information Officer

FORM 3
OUTCOME OF REQUEST AND OF FEES PAYABLE
[REGULATION 8]

Note:
Ifyourrequestisgrantedtheamountofthedeposit,(ifany),ispayablebefore your request isprocessedandrequestedrecord/portionoftherecordwillonlybereleased once proof of fullpaymentisreceived.Pleaseusethereferencenumberinallfuturecorrespondence.

TO: Referencenumber:

Yourrequestdated , refers.

1. You requested:

Personalinspectionofinformationatregisteredaddressofpublic/private body (includinglisteningtorecordedwords,informationwhichcanbereproduced in sound,orinformationheldoncomputerorinanelectronicormachine-readable form)isfreeofcharge.Youarerequiredtomakeanappointment for the inspectionoftheinformationandtobringthisFormwithyou.Ifyouthen require anyformofreproductionoftheinformation,youwillbeliablefor the fees prescribed in Annexure B.	☐

OR

2. You requested:

Printedcopiesoftheinformation(includingcopiesofanyvirtual images, transcriptionsandinformationheldoncomputerorinanelectronicor machine-readable form)	☐
Writtenorprintedtranscriptionofvirtualimages(thisincludesphotographs, slides,videorecordings, computer-generated images, sketches, etc)	☐
Transcription of soundtrack (written or printed document)	☐
Copyofinformationonflashdrive(includingvirtualimagesandsoundtracks)	☐
Copyofinformationoncompactdiscdrive(includingvirtualimages and soundtracks)	☐
Copy of record saved on cloud storage server	☐

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3. TO BE SUBMITTED:

Postal services to postal address	☐
Postal services to street address	☐
Courier service to street address	☐
Facsimile of information in written or printed format (including transcriptions)	☐
E-mail of information (including soundtracks if possible)	☐
Cloud share/file transfer	☐
Preferred language: (Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available)	

Kindly note that your request has been:

☐ Approved

☐ Denied, for the following reasons:

4. Fees payable with regards to your request:

ITEM	COSTPER A4-SIZE PAGE OR PARTTHEREOF/ITEM	NUMBEROF PAGES/ITEMS	TOTAL
Photocopy			
Printed copy			
For a copy in a computer-readable form on: (i) Flash drive • To be provided by requestor (ii) Compact disc • If provided by requestor • If provided to the requestor	 R40.00 R40.00 R60.00		
For a transcription of visual images per A4-size page	Serviceto be outsourced. Will dependon the quotation of the serviceprovider		
Copy of visual images			
Transcription of an audio record, per A4-size	R24.00		
Copy of an audio record (i) Flash drive • To be provided by requestor (ii) Compact disc • If provided by requestor • If provided to the requestor	 R40.00 R40.00 R60. 00		
Postage, e-mail or any other electronic transfer:	Actualcosts		
TOTAL:			

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5. Deposit payable (if search exceeds six hours): ☐Yes ☐No

Hours of search		Amount of deposit (calculated on one third of total amount per request)	

The amountmustbepaidintothefollowing Bank account:

Name ofBank: Name of account holder:

Type of account: Account number:

Branch Code: Submit proof of payment to:

ReferenceNr:

Signed at this _____day of _____20

X _____

Information officer

RSB (PTY) LTD
ROCK SOLID BROKERS

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