

PROMOTION OF ACCESS TO INFORMATION ACT 2/2020  
(the “ACT”)

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MANUAL  
in terms of  
Section 51 of the ACT.



Kaon Capital (Pty) Ltd  
Reg. No.: 2014/269215/07

and



Kaon Investment Management (Pty) Ltd  
An authorised Financial Services Provider (FSP No: 48460)  
Reg. No.: 2017/242347/07

Creation Date: January 2021  
Last Revised: January 2021

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## INTRODUCTION

### ABOUT KAON CAPITAL

Kaon Capital is a JSE Derivatives Market member and provides brokerage services to clients across Equity, FX, Interest Rate and Commodity derivatives products.

### ABOUT KAON INVESTMENT MANAGEMENT

Kaon Investment Management is an authorized Financial Services Provider (FSP No: 48460) in terms of the Financial Advisory and Intermediary Services Act. Kaon Investment Management provides advice and discretionary asset management services to clients with a primary focus on South African capital markets.

## CONTACT DETAILS

### DIRECTORS

Luke Alers (Chairman)  
Gregory Ronaldson  
Conn O'Donoghue  
Lauren Moxham

### CEO

Luke Alers

### POSTAL ADDRESS

P.O. Box 130102  
Bryanston  
2074

### STREET ADDRESS

1<sup>st</sup> Floor  
Yellowwood House,  
Ballywoods Office Park  
33 Ballyclare Drive  
Bryanston  
2191

### TELEPHONE

010 005 0833/4/5

### EMAIL

operations@kaoncapital.com  
KIMoperations@kaoninvestment.com

## THE ACT

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.

Requests in terms of the ACT shall be made in accordance with the prescribed procedures, at the rates provided. The forms and tariff are dealt with in paragraphs 6 and 7 of 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 is available from the SAHRC.

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](http://www.sahrc.org.za)

## APPLICABLE LEGISLATION

1. Companies Act
2. Employment Equity Act
3. Income Tax Act
4. Labour Relations Act
5. Value Added Tax Act
6. Financial Advisory and Intermediary Services Act
7. Basic Conditions of Employment Act
8. Electronic Communications and Transactions Act
9. Promotion of Access of Information Act
10. Unemployment Insurance Act
11. Broad-Based Economic Empowerment Act
12. Disaster Management Act
13. Financial Institutions (Protection of Funds) Act
14. Financial Markets Act
15. Financial Sector Regulatory Act
16. Financial Intelligence Centre Act
17. Financial Services Board Act
18. Financial Services Ombud Schemes Act
19. Inspection of Financial Institutions Act
20. Labour Relations Act
21. Occupational Health and Safety Act
22. Prevention and Combating of Corrupt Activities Act
23. Prevention of Organised Crime Act
24. Promotion of Equality and Prevention of Unfair Discrimination Act
25. Protection of Constitutional Democracy against Terrorist and Related Activities Act
26. Protection of Personal Information Act

## SCHEDULE OF RECORDS

| <u>Records</u> | <u>Subject</u>  | <u>Availability</u>  |
|----------------|---|--|
| Public Affairs | <ul style="list-style-type: none"><li>• Public Product Information</li><li>• Public Corporate Records</li><li>• Media Releases</li></ul>  | <a href="http://www.kaoninvestment.com">www.kaoninvestment.com</a><br><a href="http://www.kaoncapital.com">www.kaoncapital.com</a> |
| Financial      | <ul style="list-style-type: none"><li>• Financial Statements</li><li>• Financial and Tax Records (Company &amp; Employees)</li><li>• Asset Register</li><li>• Management Accounts</li></ul>   | Proprietary (Pty Ltd). Not available.<br>Request in terms of PAIA  |
| Marketing      | <ul style="list-style-type: none"><li>• Market Information</li><li>• Public Customer Information:<ul style="list-style-type: none"><li>◦ Product Brochures</li></ul></li><li>• Field Records</li><li>• Performance Records</li><li>• Product Sales Records</li><li>• Marketing Strategies</li><li>• Customer Database</li></ul> | Limited Information available on website.<br>Request in terms of PAIA.   |

## FORM OF REQUEST

To facilitate the processing of your request, kindly:

1. Use the prescribed form, available on the website of the SOUTH AFRICAN HUMAN RIGHTS COMMISSION at [www.sahrc.org.za](http://www.sahrc.org.za).
2. Address your request to the Head of the Company (CEO).
3. Provide sufficient details to enable the COMPANY to identify:
  - (a) The record(s) requested;
  - (b) The requester (and if an agent is lodging the request, proof of capacity);
  - (c) The form of access required;
  - (d) The postal address or fax number of the requester in the Republic;
  - (e) If the requester wishes to be informed of the decision in any manner (in addition to written) the manner and particulars thereof;
  - (f) 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.

## PRESCRIBED FEES

The following applies to requests (other than personal requests):

1. A requestor is required to pay the prescribed fees (R50.00) before a request will be processed;
2. 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);
3. A requestor may lodge an application with a court against the tender/payment of the request fee and/or deposit;
4. Records may be withheld until the fees have been paid.

5. The fee structure is available on the website of the SOUTH AFRICAN HUMAN RIGHTS COMMISSION at [www.sahrc.org.za](http://www.sahrc.org.za).