

THE
INFORMATION MANUAL IN TERMS OF SECTION 51. OF
THE PROMOTION OF ACCESS TO INFORMATION ACT NO. 2
OF 2000 (PAIA) [as AMENDED]

OF

STERLING PRIVATE WEALTH (PTY) LTD
Registration No. 2007/004491/07

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1. INTRODUCTION TO STERLING PRIVATE WEALTH

This private body is an authorised financial services provider that provides financial advice and renders intermediary services to clients on financial products under a license issued in terms of the Financial Advisory and Intermediary Services Act, Act 37 of 2002.

2. CONTACT DETAILS

All matters in connection with requests for information in terms of the Promotion of Access to Information Act, Act 2 of 2000 should be directed to the Compliance Officer.

Designated person: Graydon Morris

Postal address: Private Bag X9978
Sandton
2146

Physical address: Block B
Chiselhurst Office Park
19 Impala Road
Chiselhurst
Sandton.

Telephone: +27 11 883 8828

Facsimile: +27 11 783 0091

E-mail: sterling@sterlingwealth.co.za

Website: <http://www.sterlingwealth.co.za>

3. GUIDE IN TERMS OF SECTION 10 OF THE ACT

The section 10 Guide on how to use the Act is available from The South African Human Rights Commission. Queries can be directed to:

The South African Human Rights Commission:
PAIA Unit
Private Bag 2700
Houghton
2041
Telephone: +27 11 877 3600
Facsimile: +27 11 403 0668
E-mail: PAIA@sahrc.org.za
Website: <http://www.sahrc.org.za>

4. RECORDS AVAILABLE IN TERMS OF ANY OTHER LEGISLATION

All records kept and made available in terms of legislation applicable to any of the subjects listed in this Manual and the Financial Services Industry in general, as it applies to the specific environment in which our business operates, are available in accordance with said legislation.

5. SUBJECTS AND CATEGORIES OF RECORDS HELD BY THE COMPANY THAT MAY BE REQUESTED.

- 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):

Not applicable. Some brochures, pamphlets and documents related to the business of the private body are available without cost.

- ii. Records that may be requested:

Administration:

- License of product categories
- Minutes of management meetings
- Minutes of staff meetings
- Correspondence

Human Resources:

- Employment contracts
- Mandates
- Policies and procedures
- Training
- Remuneration and benefits policies and records

Operations:

- Compliance manual – FAIS
- Compliance reports
- Complaints procedures
- Contractual agreements with suppliers
- Procedures manual - FICA
- Records of advice
- Register of key individuals
- Register of representatives
- Register of non-compliance
- Record of continued compliance by representatives
- Register of premature cancellation of products
- Clients register

Finances:

- Accounting and audit records
- Financial statements
- Assets inventory

- iii. The request procedures:

Form of request: (ANNEXURE A)

- 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.
- 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.
- 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.
- 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.

Fees: (ANNEXURE B)

- 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.
- 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.
- 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.

6. OTHER INFORMATION AS MAY BE PRESCRIBED

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

7. AVAILABILITY OF THE PAIA MANUAL

The manual is available for inspection at the offices of the relevant private body free of charge.

Copies are also available with the SAHRC and on the private body's website (if any).