

# **TREVETHAN FINANCIAL SERVICES PTY LTD**

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REG Number 2018/313696/07

**TREVETHAN FINANCIAL SERVICES**

(the "COMPANY")

**PROATIA SECTION 51  
MANUAL  
in terms of**

**The Promotion of Access to Information Act**

**2/2000**

(the "ACT")

November 2011

Manual Compiled by:

**TFS**  
TREVETHAN  
FINANCIAL SERVICES

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## **1. INTRODUCTION**

Brokering services and financial investment advice.

## **2. COMPANY CONTACT DETAILS**

Persons designated/duly authorised persons:

Directors: BD TREVETHAN | N MOOLMAN

Information Officer: NICOLETTE MOOLMAN

REG Number	2018/313696/07
Postal Address	10 ABREY ROAD KLOOF 3610
Physical Address	10 ABREY ROAD KLOOF 3610
Telephone Number	0829033623
Facsimile Number	031 7678040
General contact Email address for the company	brad@kbi.co.za
Email address for heads of the company	nikkim@kbi.co.za
Website	trevethanfinancialservices.co.za
Income Tax number:	9267859230
PAYE Number:	7310804069

## **3. THE ACT**

- 3.1** The ACT grants a requester access to records of the COMPANY, 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.
- 3.2** 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.
- 3.3** Requesters are referred to the Guide to be compiled by the South African Human Rights Commission, which will contain information for the purposes of exercising Constitutional Rights. The Guide will be available in August 2003. The contact details of the Commission are:
- Postal Address: Private Bag 2700, Houghton, 2041
- Telephone Number: +27-11-484 8300
- Fax Number: +27-11-484 0582
- Website: [www.sahrc.gov.za](http://www.sahrc.gov.za)

#### 4. APPLICABLE LEGISLATION

Legislation	Held by/Applicable to TREVETHAN FINANCIAL SERVICES
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- ~~1. Administration of Estates Act, No. 66 of 1965~~
- ~~2. Arbitration Act No. 42 of 1965~~
- ~~3. Basic Conditions of Employment No. 75 of 1997~~
- ~~4. Close Corporations Act No. 69 of 1984~~
- ~~5. Companies Act No. 61 of 1973~~
- ~~6. Compensation for Occupational Injuries and Health Diseases Act No. 130 of 1993~~
- ~~7. Consumer Affairs (Unfair Business Practices) Act No. 71 of 1988~~
8. Copyright Act No. 98 of 1978 ✓
9. Credit Agreements Act No. 75 of 1980
- ~~10. Currency and Exchanges Act No. 9 of 1933~~
- ~~11. Debtor Collectors Act No. 114 of 1998~~
- ~~12. Employment Equity Act No. 55 of 1998~~
13. Finance Act No. 35 of 2000 ✓
14. Financial Services Board Act No. 97 of 1990 ✓
15. Financial Relations Act No. 65 of 1976 ✓
16. Financial Institutions (Protection of Funds) Act ✓
17. Financial Intelligence Centre Act ✓
18. Financial Services Ombud Schemes Act ✓
- ~~19. Harmful Business Practices Act No. 23 of 1999~~
20. Income Tax Act No. 95 of 1967 ✓
- ~~21. Insolvency Act No. 24 of 1936~~
22. Insurance Act No 27 of 1943 ✓
- ~~23. Intellectual Property Laws Amendments Act No. 38 of 1997~~
24. Labour Relations Act No. 66 of 1995 ✓
25. Long Term Insurance Act No. 52 of 1998 ✓
26. Medical Schemes Act No. 131 of 1998 ✓
27. Occupational Health & Safety Act No. 85 of 1993 ✓
28. Pension Funds Act No. 24 of 1956 ✓
- ~~29. Post Office Act No. 44 of 1958~~
- ~~30. Regional Services Councils Act No. 109 of 1985~~
- ~~31. SA Reserve Bank Act No. 90 of 1989~~
32. Short Term Insurance Act No. 53 of 1998 ✓
- ~~33. Skills Development Levies Act No. 9 of 1999~~
- ~~34. Skills Development Act No. 97 of 1998~~
- ~~35. Stamp Duties Act No. 77 of 1968~~
- ~~36. Stock Exchange Control Act No. 1 of 1985~~
37. Tax on Retirement Funds Act No. 38 of 1996 ✓
- ~~38. Trade Marks Act No. 194 of 1993~~
39. Unemployment Contributions Act No. 4 of 2002 ✓
40. Unemployment Insurance Act No. 63 of 2001 ✓
- ~~41. Usury Act No 73 of 1968~~
- ~~42. Value Added Tax Act No. 89 of 1991~~
43. Electronic Communications and Transaction Act ✓

## 5. ACCESS TO RECORDS AND AVAILABILITY

CATEGORIES OF RECORDS ON EACH SUBJECT	FORM HELD	AVAILABILITY
<b>1. Company Secretarial Records</b>		
Company Incorporation Documents	Physical	Automatically available
Names of Directors	Physical	Automatically available
<b>2. Financial Records of the Company</b>		
Financial statements	Physical	Automatically available
Documents relating to taxation of the company	Physical	Not automatically available
Financial Agreements	Physical	Not automatically available
Banking Details	Physical	Automatically available, Send email to <a href="mailto:nikkim@kbi.co.za">nikkim@kbi.co.za</a>
Asset Register	Physical	Automatically available
Management Accounts	Physical	Not required to disclose
Rental Agreements	Physical	Not required to disclose
Monthly expenses	Physical	Not automatically available
Bank Statements	Physical	Not automatically available
Monthly and Annual Financial Statements	Physical	Not automatically available
Stock invoices	Physical	Not automatically available
<b>3. Insurance of Company</b>		
Insurance Policies held by the Company	Physical	Not automatically available
Register of all immovable property owned by the company	Physical	Not automatically available
<b>4. Employees</b>		
List of Employees	Physical	Not automatically available
Personal information of employees	Physical	Not automatically available
Employee contracts of employment	Physical	Not automatically available
Pension Funds & Provident Fund	Physical	Not automatically available
Salaries of Employees	Physical	Not automatically available
Leave records	Physical	Not automatically available
PAYE and UIF contribution records	Physical	Automatically available
<b>5. Company Policies and Directives</b>		
Internal relating to employees and the company	Physical	Not automatically available
External relating to clients and other third parties	Physical	Automatically available
<b>6. Agreements or Contracts</b>		
Standard Agreements	Physical	Not automatically available
Contracts concluded with customers	Physical	Not automatically available
NDA's	Physical	Not automatically available
Letter's of Intent, MOU's	Physical	Not automatically available
Third party contracts (such as JV agreements, VAR Agreements etc.)	Physical	Not automatically available
Office management contracts	Physical	Not automatically available
Supplier contracts	Physical	Not automatically available
<b>7. Regulatory</b>		
Permits, Licences or Authorities	Physical	Not automatically available
FSCA Licence	Physical	Automatically available
Conflicts of Interest Policy	Physical	Automatically available
Complaints Policy	Physical	Automatically available
<b>8. Published Information</b>		
External Newsletters and Circulars	Physical	Automatically available
Internal Newsletters and Circulars	Physical	Not automatically available
Information on the company published by third parties	Physical	Not automatically available

9. Customer Information		
Customer Details	Physical	Not available
Contact details of individuals within customers	Physical	Not automatically available
Communications with customers	Physical	Not automatically available
10. Reference Materials		
Books	Physical	Not automatically available
Newsletters and journals articles	Physical	Not automatically available
Magazines	Physical	Not automatically available
Newspaper articles	Physical	Not automatically available
11. Marketing		
Marketing Information	Physical	Automatically available
Public Customer Information:	Physical	Not automatically available

## 6. FORM OF REQUEST

To facilitate the processing of your request, kindly:

- 6.1 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), or the website of THE DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT (under regulations) at [www.doj.gov.za](http://www.doj.gov.za)
- 6.2 Address your request to the Company Secretary.
- 6.3 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) (i) The postal address or fax number of the requester in the Republic;  
(ii) If the requester wishes to be informed of the decision in any manner (in addition to written) the manner and particulars thereof;
  - (e) 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.

**REQUEST FOR ACCESS FORM**  
 (in terms of The Promotion of Access to Information Act)  
**NAME OF THE COMPANY TO WHOM THE REQUEST IS MADE**

[Insert full name of company]

**PARTICULARS OF PERSON REQUESTING ACCESS TO INFORMATION**

Surname		First names	
Identity number		E-mail address	
Telephone no.		Facsimile no.	
Postal address			

**PARTICULARS OF PERSON ON WHOSE BEHALF REQUEST IS MADE (IF APPLICABLE)**

Surname		First names	
Identity number		E-mail address	
Telephone no.		Facsimile no.	
Postal address			

**PARTICULARS OF RECORDS REQUESTED**

REFERENCE (if applicable) :

**FORM OF ACCESS TO RECORD**

**NOTES:**

- a) Compliance with your request in the specified form may depend on the form in which the record is available.
- b) Access in the form requested may be refused in certain circumstances. In such a case you will be informed if access will be granted in another form.
- c) The fee payable for access to the record, if any, will be determined partly by the form in which access is requested.

(Mark the appropriate shaded box with an X.)

**1. If the record is in written or printed form:**

<input type="checkbox"/>	copy of record*	<input type="checkbox"/>	Inspection of record
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**2. If the record consists of visual images:**

(this includes photographs, slides, video recordings, computer-generated images, sketches, etc.):

<input type="checkbox"/>	view the images	<input type="checkbox"/>	copy of the images*	<input type="checkbox"/>	transcription of the images*
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**3. If the record consists of recorded words or information which can be reproduced in sound:**

<input type="checkbox"/>	listen to the soundtrack	<input type="checkbox"/>	Transcription of soundtrack*(written or printed)
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**4. If record is held on computer or in an electronic or machine-readable form:**

<input type="checkbox"/>	printed copy of record	<input type="checkbox"/>	printed copy of information derived from the record*	<input type="checkbox"/>	copy in computer readable form* (stiffy or compact disc)
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\* If you requested a copy or transcription of a record (above), do you wish the copy or transactions to be posted to you?      YES      NO

If you are prevented by a disability to read, view or listen to the record in the form of access provided for in 1 to 4 above, state your disability and indicate in which form the record is required.

Disability	
Form in which record is required:	

**PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED**

EXPLANATION OF WHY RECORD IS REQUIRED FOR EXERCISE OR PROTECTION OF ABOVEMENTIONED RIGHT			
NOTICE OF DECISION REGARDING REQUEST FOR ACCESS			
You will be notified in writing whether your request has been approved/denied. If you wish to be informed in another manner, please specify the manner and provide the necessary particulars to enable compliance with your request.			
SIGNED		SIGNATURE	
Signed at		Date	
Signature of the Requester			

FEES APPLICABLE FOR REQUEST FOR DOCUMENTATION	
• For every photocopy of an A4 page or part thereof	• R1.80
• For every printed copy of an A4 page or part thereof held on a computer or in electronic or machine-readable form	• R0.75
• For a copy in a computer readable form on disc	• R7.50
• For a copy in a computer-readable form on compact disc	• R70.00
• For a transcription of visual images per A4 page or part thereof	• R40.00
• For email copy per email page	• R20.00
• For a copy of visual images	• R60.00
* Fees subject to change without notice.	

**7. PRESCRIBED FEES**

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

- 7.1 A requestor is required to pay the prescribed fees (R50.00) before a request will be processed;
- 7.2 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);
- 7.3 A requestor may lodge an application with a court against the tender/payment of the request fee and/or deposit;
- 7.4 Records may be withheld until the fees have been paid.
- 7.5 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), or the website of THE DEPARTMENT OF JUSTICE AND CONSTITUTIONAL DEVELOPMENT (under regulations) at <http://www.doj.gov.za/>



# **TREVETHAN FINANCIAL SERVICES PTY LTD**

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## **8. Availability of this Manual**

This manual is available at the premises of TREVETHAN FINANCIAL SERVICES from: 9am to 2pm weekdays by appointment only:

**10 ABREY ROAD KLOOF 3610**

\*This manual is also available from the South African Human Rights Commission



Nicolette Moolman

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**TREVETHAN FINANCIAL SERVICES**

**Signed by  
Information Officer**

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**Print Name**

15 September 2020

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**DATE OF REPORT**