



PROMOTION OF ACCESS TO INFORMATION

ACT MANUAL

Aeon Investment Management (Pty) Ltd

FSP: 27126

Company Registration No. 2005/013315/07

4th Floor, The Citadel, 15 Cavendish Street, Claremont, 7708, South Africa
PO Box 24020, Claremont, 7735, South Africa
Tel: +27 (0)21 204 6066/8, www.aeonim.co.za
Aeon Investment Management (Pty) Ltd Reg. No.: 2005/013315/07
An authorised financial services provider FSP No. 27126

Directors: Nocamagu Mbulawa (Chairperson & Non-executive); Thulani Madinginye (Non-Executive); Tshego Modise (CEO) and Asief Mohamed (CIO)

Contents

1. INTRODUCTION	3
2. COMPANY CONTACT DETAILS (Section 51(1)(a))	3
3. ACCESS TO RECORDS (Section 51(1)(b))	4
4. RECORDS AVAILABLE IN TERMS OF OTHER LEGISLATION (Section 51(1)(c))	4
5. SCHEDULE OF RECORDS (Section 51 (1)(d))	5
6. FORM OF A REQUEST FOR INFORMATION (Section 51(1)(e))	7
7. PRESCRIBED FEES (Section 51(1)(f))	8
8. AVAILABILITY OF THE MANUAL (Section 51(3))	8

1. INTRODUCTION

1.1. Aeon Investment Management (Pty) Ltd is an authorised financial services provider in terms of the Financial Advisory & Intermediary Service Act and regulated by the Financial Sector Conduct Authority (“FSCA”). The FSP number is 27126.

1.2. Aeon Investment Management (Pty) Ltd (Registration no. 2005/013315/07) is a B-BBEE Level One boutique investment company based in Claremont, Cape Town, which was established in December 2005 by Asief Mohamed, an award-winning investment professional. Aeon Investment Management first managed assets from 1 December 2005. These were hedge funds. On 9 January 2008, Long-Only funds were first introduced and managed. There have been no mergers or acquisitions since inception. As time passed and capacity increased, new funds were added to the product offering. With experienced investment professionals, we have the capability of managing a range of equity and balanced fund or multi-asset class portfolios.

Aeon Investment Management is dedicated to a level of service and excellence in investment management that cultivates trusted client relationships and enables the company to assist investors with all aspects of their investment management needs.

Aeon Investment Management aims to exceed client expectations through the following ideals:

- Understand client objectives to select the ideal portfolio and benchmark
- Set realistic performance targets and look to exceed them
- Find new opportunities in a dynamic market
- Create long term wealth by generating consistent alpha

1.3. The driving force is creating and encouraging work done with Clarity, Energy and Success in an efficient and effective manner.

2. COMPANY CONTACT DETAILS (Section 51(1)(a))

2.1. Information Officer & Deputy information Officer: Tshego Modise or Sumayah Anthony

2.2. Postal Address: PO Box 24020, Claremont, 7735

2.3. Street Address: 4th Floor, The Citadel,
15 Cavendish Street, Claremont, 7708

2.4. Telephone Number: 021 204 6066/4

2.5. Email: compliance@aeonim.co.za

INITIAL: __

2.6. Website: www.aeonim.co.za

3. ACCESS TO RECORDS (Section 51(1)(b))

3.1. The Promotion of Access to Information Act (“PAIA”), grants a requester access to certain records of a private body if the said records are required to exercise or protect any rights of the requester. Should a public body lodge such a request, it must be acting in the public interest.

3.2. Any request for information in terms of PAIA, must be made in accordance with the prescribed form and manner, at the rates provided. The prescribed form and manner and the tariff are dealt with in section 6 and 7.

3.3. The South African Human Rights Commission (SAHRC) has compiled and published a useful guide in terms of section 10 of PAIA, containing valuable information for the purposes of exercising any right in terms of PAIA.

3.4. The guide is made available in all official languages on the website of the SAHRC at the following URL:

<https://www.sahrc.org.za/home/21/files/Section%2010%20guide%202014.pdf>

3.5. The contact details of the SAHRC are as follows:

Postal Address: : Private Bag 2700, Houghton, 2041

Telephone Number : 011 877 3600

Fax Number : 011 403 0625

Website : www.sahrc.org.za

4. RECORDS AVAILABLE IN TERMS OF OTHER LEGISLATION (Section 51(1)(c))

4.1. Basic Conditions of Employment Act, 75 of 1997

4.2. Broad-based Black Economic Empowerment Act and Financial Services Charter, 53 of 2003

4.3. Collection Investment Schemes Control Act, 45 of 2002

4.4. Companies Act, 71 of 2008

4.5. Compensation for Occupational Injuries and Health Diseases Act, 130 of 1993

4.6. Consumer Protection Act, 68 of 2008

4.7. Copyright Act, 98 of 1978

INITIAL: __

- 4.8. Electronic Communications and Transaction Act, 36 of 2005
- 4.9. Employment Equity Act, 55 of 1998
- 4.10. Financial Advisory and Intermediary Services Act, 37 of 2002
- 4.11. Financial Institutions (Protection of funds) Act, 28 of 2001
- 4.12. Financial Intelligence Centre Act, 38 of 2001
- 4.13. Financial Markets Act, 19 of 2012
- 4.14. Financial Sector Regulation Act, 9 of 2017
- 4.15. Financial Services Ombud Schemes Act, 37 of 2004
- 4.16. Income Tax Act, 95 of 1967
- 4.17. Labour Relations Act, 66 of 1995
- 4.18. Occupational Health & Safety Act, 85 of 1993
- 4.19. Pension Funds Act, 24 of 1956
- 4.20. Prevention of Organised Crime Act, 121 of 1998
- 4.21. Promotion of Access of Information Act, 2 of 200
- 4.22. Protection of Constitutional Democracy against Terrorist and Related Activities Act, 33 of 2004
- 4.23. Skills Development Act, 9 of 1999
- 4.24. Unemployment Insurance Act, 63 of 2001
- 4.25. Value Added Tax Act, 89 of 1991

5. SCHEDULE OF RECORDS (Section 51 (1)(d))

5.1. Records that are available without having to submit a request in terms of PAIA:

5.1.1. Public Affairs and marketing material available on company [website](#):

- Public Product Information
- Public Application forms
- Fund Performance Records
- Conflict of interest Policy
- Complaints Policy

- Engagement activities
- Proxy voting Policy
- UNPRI
- SRI Outline
- CRISA Disclosure
- Press Releases
- CSR
- Articles

5.2. Records that must be requested in terms of PAIA:

- 5.2.1. Memorandum of Incorporation
- 5.2.2. Minutes of Board of Directors meetings
- 5.2.3. Records relating to the appointment of directors/ auditor/secretary/public officer and other officers
- 5.2.4. Share Register and other statutory registers
- 5.2.5. Annual Financial Statements
- 5.2.6. Tax Returns
- 5.2.7. Accounting Records
- 5.2.8. Banking Records
- 5.2.9. Asset Register
- 5.2.10. Rental Agreements
- 5.2.11. Invoices
- 5.2.12. PAYE Records
- 5.2.13. Documents issued to employees for income tax purposes
- 5.2.14. Records of payments made to SARS on behalf of employees
- 5.2.15. Regional Services Levies
- 5.2.16. Skills Development Levies
- 5.2.17. UIF

- 5.2.18. Employment contracts
- 5.2.19. Employment Equity Plan
- 5.2.20. Medical Aid records
- 5.2.21. Pension Fund records
- 5.2.22. Disciplinary records
- 5.2.23. Salary records
- 5.2.24. Disciplinary code
- 5.2.25. Leave records
- 5.2.26. Training records
- 5.2.27. Training Manuals

6. FORM OF A REQUEST FOR INFORMATION (Section 51(1)(e))

- 6.1. A requester must use the prescribed form “Form C” (available for download on the Department of Justice and Constitutional Development “DOJ” website) to request access to the information as per 5.2. above.
- 6.2. Form C can be downloaded from the following URL:
https://www.justice.gov.za/forms/paia/J752_paia_Form%20C.pdf
- 6.3. The request must be addressed to the responsible person as indicated in section 2.
- 6.4. The requester must provide sufficient detail on Form C to enable the contact person of the company to establish who is requesting the said information as well as what information is being requested and in what format.
- 6.5. The requester must provide sufficient detail in respect of his/her contact details and if the requester wishes to be informed of the decision of the company in any manner (in addition to written) the manner and particulars thereof.
- 6.6. Lastly, 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.
- 6.7. After the company has decided on the request, the requester must be notified in the required form.

6.8. 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 hour to search and prepare the record for disclosure.

7. PRESCRIBED FEES (Section 51(1)(f))

7.1. A requester who seeks access to a record containing personal information about that requester is not required to pay a request fee.

7.2. Every other requester, who is not a personal requester, must pay the required request fee, as prescribed from time to time.

7.3. 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). 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 fees can be downloaded from the following URL:

<https://www.sahrc.org.za/home/21/files/PAIA%20Notice%20on%20fees.pdf>

8. AVAILABILITY OF THE MANUAL (Section 51(3))

8.1. This manual is available for inspection at the offices of the company free of charge upon prior arrangement with the said contact person of the company as per section 2.

8.2. A copy is also made available on the website of the company.

Name : Tshego Modise

Signature : _____

Designation: Chief Executive Officer

Signed on this day of _____ at _____

Date of Compilation: 18 November 2020

Date updated: 22 February 2022

Version Control: Version 1.3