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FSP 51454

PAIA MANUAL

**Prepared in terms of Section 51 of the Promotion of Access to
Information Act 2 of 2000 (as amended)**
(the "ACT")

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1. LIST OF ACRONYMS AND ABBREVIATIONS

1.1	CEO	Chief Executive Officer
1.2	CIPC	Companies & Intellectual Property Commission
1.3	DIO	Deputy Information Officer;
1.4	FAIS	Financial Advisory and Intermediary Services Act 37 of 2002
1.5	FSCA	Financial Services Conduct Authority
1.6	FSP	Financial Services Provider
1.7	IO	Information Officer;
1.8	Minister	Minister of Justice and Correctional Services;
1.9	PAIA	Promotion of Access to Information Act No. 2 of 2000(as Amended);
1.10	POPIA”	Protection of Personal Information Act No.4 of 2013;
1.11	Regulator”	Information Regulator;
1.12	RAGF	Raise Africa Growth Fund
1.13	Republic”	Republic of South Africa

2. CONTACT DETAILS

Physical Address: 7 Kakapo Close, Noordhaven, Noordhoek, Western Cape, 7979

Postal Address: 7 Kakapo Close, Noordhaven, Noordhoek, Western Cape, 7979

Telephone: 084 222 5777

Facsimile: N/A

E-mail: guy@raiseafrica.co.za

3. OVERVIEW AND OBJECTIVES OF THE MANUAL

3.1 PAIA gives effect to section 32 of the Constitution, which provides that everyone has the right to access information held by the State, as well as information held by another person (or private body) when such privately held information is required for the exercise and protection of rights.

3.2 PAIA aims to emphasize the importance of access to information in a democratic society by fostering a culture of transparency and accountability. PAIA does this by requiring both public and private bodies to develop a manual describing the type of records held, and procedures for accessibility to such information by other people.

3.3 PAIA determines limits on the type of information that can be accessed.

3.4 This manual is compiled in accordance with Section 14 of PAIA and offers an outline of information held by **Raise Africa Investments (Pty) Ltd**, which is accessible to the public.

4. INTRODUCTION TO RAISE AFRICA INVESTMENTS (PTY) LTD

Raise Africa Investments (Pty) Ltd is a black woman-owned and managed, sector agnostic private equity firm – focusing on companies across Africa, with a proven track record that require investment and strategic input to reach their full potential.

The Company also manages and controls the Raise Africa Growth Fund (RAGF), a limited liability entity with strategic partners. The main objective of the RAGF is that of investing equity growth (development or expansion) capital into privately owned SA entities, aiming to generate superior returns consistent with associated risks.

Raise Africa Investments (Pty) Ltd is an authorised Financial Services Provider domiciled in South Africa, authorised by FCSA under the Financial Advisory and Intermediary Services Act, 37 of 2002, with **FSP Number 51454**.

This PAIA Manual applies to the following **Raise Africa Investments (Pty) Ltd** associated entities:

Company Name
Raise Africa Growth Fund Holdings (Pty) Ltd
Raise Africa Growth Fund (RF) (Pty) Ltd
Legacy Africa Group (Pty) Ltd
Raise Africa Weather (RF) (Pty) Ltd
RAICOM (Pty) Ltd
African Oil Way (Pty) Ltd

5. INFORMATION OFFICER

5.1 **Guy Paterson** - Chief Executive Officer is; in terms of PAIA and the Protection of Personal Information Act, 4 of 2013 ("POPIA"), **Raise Africa Investments (Pty) Ltd Information Officer**.

5.2 **The Information Officer can be contacted at:**

Physical Address: 7 Kakapo Close, Noordhaven, Noordhoek, Western Cape, 7979

Postal Address: 7 Kakapo Close, Noordhaven, Noordhoek, Western Cape, 7979

Telephone: 084 222 5777

Facsimile: N/A

E-mail: guy@raiseafrica.co.za

6. SECTION 10 GUIDE

6.1 In terms of section 10 of PAIA as amended by POPIA, the Information Regulator has published a guide containing information relating to:

- obtaining access to a record of a private body and the assistance that is available from the Regulator and as of 1 July 2021, from the Information Regulator;
- lodging a court application against a decision by the head of a private body;
- the fees that are payable for accessing a record; and
- the voluntary disclosure of information by private bodies.

Effective 1 July 2021, the Guide, as updated by the Information Regulator, will be available at the offices of the Information Regulator and on its website in all the applicable official languages as prescribed by Section 10 of PAIA, and in accordance with POPIA.

Please direct any queries regarding the Guide to the Information Regulator as indicated below:

6.2 The contact details of the Information Regulator are as follows:

Information Regulator

The Research and Documentation Department

Postal Address: P.O. Box 31533, Braamfontein, Johannesburg, 2017

Telephone: +27 10 023 5200

Website: justice.gov.za

E-mail (complaints): complaints.IR@justice.gov.za

E-mail (general enquiries): infoereg@justice.gov.za

7. RECORDS THAT ARE AVAILABLE IN TERMS OF OTHER LEGISLATION

Where applicable and insofar as the requester complies with the requirements set out in PAIA and this manual, the requester may request information which is available in terms of the following legislation, as amended:

- Basic Conditions of Employment Act 75 of 1997
- Broad Based Black Economic Empowerment Act 53 of 2003
- Companies Act 71 of 2008
- Electronic Communications and Transactions Act 25 of 2002
- Employment Equity Act 55 of 1998
- Financial Intelligence Centre Act 38 of 2001 (“FICA”)

- Financial Markets Act 12 of 2012
- Income Tax Act 95 of 1967
- Labour Relations Act 66 of 1995
- Promotion of Access to Information Act No 2 of 2000
- Protection of Personal Information Act 4 of 2013
- Unemployment Contributions Act 4 of 2002
- Unemployment Insurance Act 63 of 2001

8. RECORDS AUTOMATICALLY AVAILABLE

No notice has been submitted to the Minister of Justice and Constitutional Development regarding the categories of records, which are available without a person having to request access in terms of Section 52(2) of PAIA. However, the information on the **Raise Africa Investments (Pty) Ltd** website is automatically available without having to request access in terms of PAIA. Furthermore, other corporate registration information is accessible on the CIPC website.

9. SUBJECTS AND CATEGORIES OF INFORMATION HELD

This section of the manual sets out the subject and categories of records held by **Raise Africa Investments (Pty) Ltd**. The inclusion of any subject or category of records should not be taken as an indication that records falling within those subjects and/or categories will be made available as per the Act. Particularly, certain grounds of refusal as set out by the Act, may be applicable to a request for such records. The following information should be formally requested as detailed in clause 7 below:

9.1 Company's Secretarial and Statutory records:

- Documents of incorporation
- Memorandum of incorporation
- Minutes of Board of Directors meetings
- Records relating to the appointment of directors / auditors / secretary / public officer and other officers
- Share Certificates
- Share register and other statutory registers
- Annual financial statements
- Shareholders and Board resolutions
- Investments held or owned

- Financial reports, balance sheets, income statements
- 9.2 **Financial records**
- Invoices
 - Management Accounts Reports
 - Income Statements, Balance Sheets, Trail Balances
 - Cashflow Projections
 - Forecasts and Annual Budgets
 - Banking records, bank statements, electronic banking records
 - Investment Packs
- 9.3 **South African Revenue Services records:**
- PAYE records
 - Documents issued to employees for income tax purposes
 - Records of payments made to SARS on behalf of employees
 - All other statutory compliances:
 - UIF
- 9.4 **Marketing and Client Relations records:**
- Company Profiles
 - Description of products & services
 - Correspondence
 - Fact sheets
- 9.5 **Information Technology records:**
- Web and Domain hosting records
 - Software licences
- 9.6 **Human Resources, including:**
- HR policies and procedures;
 - Contracts of employment;
 - Employee records.
 - Training records

9.7 **Business & Operational records**

- Contracts with service providers;
- Shareholder's agreements.
- Subscription agreements
- Investment Thesis and Terms of reference
- Organograms
- Emails

9.8 **Intellectual Property**

- Licences relating to intellectual property rights
- Other agreements relating to intellectual property rights.

9.9 **Permits and Licences**

- Licences, material permits, consents, approvals, authorisations and certificates;
- Applications for permits and licenses; and
- Registrations and declarations of permits.

9.10 **Specific agreements relating to our business activities:**

- Indemnity, confidentiality and non-disclosure agreements;
- Regulatory agreements;
- Agreements relating to transactions;
- Presentations to clients;
- Research information.

9.11 **Policy documents**

- Compliance Framework and Policy
- Financial Recovery Policy
- Governance Structure & Framework
- Resolution Plan Policy
- Risk Management Framework and Policy
- Succession Plan
- Conflict of Interest Policy
- Complaints Policy
- Remuneration Policy
- Privacy Policy

9.12 **Miscellaneous agreements records:**

- Loans from third parties (including banks);
- Loans to third parties;
- Suretyship agreements;
- Restraint of Trade Agreements
- Agreements in terms of which **Raise Africa Investments (Pty) Ltd** is a member of a joint venture,
- Other related partnership, incorporated or unincorporated association, and shareholders' agreements of another entity which **Raise Africa Investments (Pty) Ltd** is a party to

9.13 **Compliance records:**

- Compliance reports
- Statutory information
- Information required by FAIS, FICA and FIC

10. **THE REQUEST PROCEDURE**

10.1 **Forms and fees**

- A request for information must be made in the prescribed Form C, a copy of which is annexed hereto as Appendix "1", must be addressed to the Information Officer of **Raise Africa Investments (Pty) Ltd** and must be submitted with the prescribed fee (if any).
- The prescribed request form and details regarding the prescribed fees are available from the **Raise Africa Investments (Pty) Ltd** Information Officer, the Information Regulator's website, whose contact details are set out above.

10.2 **Form of request**

- The requester must use the prescribed form to make the request for access to a record. This must be made to the Information Officer of **Raise Africa Investments (Pty) Ltd**. This request must be made to the address or electronic mail address of **Raise Africa Investments (Pty) Ltd**.
- The requester must provide sufficient detail on the request form to enable the head of **Raise Africa Investments (Pty) Ltd** to identify the record and the requester. The requester should also indicate which form of access is required. The requester should indicate if it requires notice of the decision of the head of the private body in any manner, other than in writing.
- 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 submit proof of the capacity in which the requester is making the request to the satisfaction of the head of the private body.

10.3 Fees

- A requester who seeks access to a record containing personal information must pay the required request fee, if any.
- **The head of Raise Africa Investments (Pty) Ltd** must by notice, require the requester to pay the prescribed fee, if any, before further processing of the request.
- The requester may lodge an application to the High Court relating to the payment of the request fee.
- After the head of **Raise Africa Investments (Pty) Ltd** 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, in excess of the prescribed hours, required to search and prepare for the record disclosure.
- The prescribed fees are available from the head of **Raise Africa Investments (Pty) Ltd** and from the Information Regulator (if the request is after 1 July 2021), whose contact details are set out above.

PROTECTION OF PERSONAL INFORMATION ACT 4 OF 2013

We process personal information that is necessary to enable us to provide our various services. Below are the various categories of personal information we collect and who we share personal information with.

Subject	Category
Data subject categories and their personal information	<ul style="list-style-type: none"> • Employees: record of employee life cycle • Service providers: record of service provider life cycle • Clients: record of clients 'life cycle • Media: records of media interactions
Recipients of personal information	<ul style="list-style-type: none"> • Industry bodies • Law enforcement • Regulators • Service providers • Statutory authorities • Financial Institutions
Security measures to protect personal information	<p>Reasonable security measures are used to protect data that is provided to us and also resides on our servers. Security measures include:</p> <ul style="list-style-type: none"> • Physical security measures • Access control measures • Internal security measures • Cyber security measures • Anti-virus measures • Installing security firewalls

For more information on how we process personal information, please see our Privacy Policy available at www.raiseafrica.co.za

11. GROUNDS FOR REFUSAL OF ACCESS TO RECORDS AS STIPULATED IN SECTION 62 TO 70 OF PAIA AND POPIA:

11.1 **Raise Africa Investments (Pty) Ltd** has the right to reject any request for information submitted in terms of Section 62 – 70 of Chapter 4 of the PAIA and POPIA.

12. OTHER INFORMATION REQUIRED BY LEGISLATION

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

13. PLANNED TRANSBORDER FLOWS OF PERSONAL INFORMATION

- Flows to service providers/operators
- Flows to business partners
- Flows to customers
- Flows to suppliers
- Flows through the use of social media

14. AVAILABILITY OF THE MANUAL

A copy of this manual is available on the company website [<https://www.raiseafrica.co.za/>], free of charge and for public inspection at the head office of **Raise Africa Investments (Pty) Ltd** physical address as stated above, during normal business operating hours;

14.1 A fee for a copy of the Manual, as contemplated in annexure B of the Regulations, shall be payable per each A4-size photocopy made.

14.2 The request forms and fee structure can be obtained via the Information Regulator's website, details of which are set out above.

14.3 Request forms are also available on the Department of Justice and Constitutional Development's website, which the website can be accessed using the generic resource locator: www.doj.gov.za.

15. UPDATING OF THE MANUAL

The head of **Raise Africa Investments (Pty) Ltd** will on a regular basis update this manual.

Issued by:

[Signature not included for security reasons. Signed copy available on request]

GUY PATERSON
CHIEF EXECUTIVE OFFICER

APPENDIX "1"

FORM C: REQUEST FOR ACCESS TO RECORD OF PRIVATE BODY

Section 53(1) of the Promotion of Access to Information Act 2 of 2000

A. PARTICULARS OF PRIVATE BODY

Name of Private Body: *Raise Africa Investments (Pty) Ltd* (Proprietary) Limited
Registration No: 2015/290844/07

The Head: Guy Paterson

Physical Address: 7 Kakapo Close, Noordhaven, Noordhoek, Western
Cape, 7979

Postal Address: 7 Kakapo Close, Noordhaven, Noordhoek, Western
Cape, 7979

Telephone: +27 084 222 5777

Telefacsimile: N/A

E-Mail: guy@raiseafrica.co.za

PARTICULARS OF PERSON REQUESTING ACCESS TO THE RECORD

- (a) *The full particulars of the person who requests access to the record must be given below.*
- (b) *The address and/or fax number in the Republic to which the information is to be sent must be given.*
- (c) *Proof of the capacity in which the request is made, if applicable, must be attached.*

Full names and surname: _____

Identity Number: _____

Postal Address: _____

Fax Number: _____ **Telephone Number:** _____

E-Mail address: _____

**Capacity in which request is made, _____ when
made on behalf of another person**

B. PARTICULARS OF PERSON ON WHOSE BEHALF REQUEST IS MADE

This section must be completed ONLY if a request for information is made on behalf of another person.

Full names and surname: _____

Identity Number: _____

C. PARTICULARS OF RECORD

- (a) *Provide full particulars of the record to which access is requested, including the reference number if that is known to you, to enable the record to be located.*
- (b) *If the provided space is inadequate, please continue on a separate folio and attach it to this form. **The requester must sign all the additional folios.***

Description of record or relevant part of the record _____

Reference number, if available: _____

Any further particulars of record: _____

D. FEES

- (a) *A request for access to a record, other than a record containing personal information about yourself, will be processed only after a **request fee** has been paid.*
- (b) *You will be notified of the amount required to be paid as the request fee.*
- (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 for exemption from payment of fees:

E. FORM OF ACCESS TO RECORD

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

Disability:		Form in which record is required:	
_____		_____	
_____		_____	
_____		_____	

Mark the appropriate box with an "X":

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 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.*

1. If the record is in written or printed form:			
	Copy of record*		Inspection of record
2. If record consists of visual images (this includes photographs, slides video recordings, computer-generated images, sketches, etc.):			
	View the images		Copy of the images*
			Transcription of the images*
3. If record consists of recorded words or information which can be reproduced in sound:			
	Listen to the soundtrack (audio cassette)		Transcription of soundtrack (written or printed document)*
4. If record is held on computer or in an electronic or machine-readable form:			

	Printed copy of record*		Printed copy of information derived from the record*		Copy in computer readable form* (stiffy or compact disc)	
*If you requested a copy or transcription of a record (above), do you wish the copy or transcription to be posted to you?					YES	NO
Postage is payable.						

G. PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED

If the provided space is inadequate, please continue on a separate folio and attach it to this form. The requester must sign all the additional folios.

1. Indicate which right is to be exercised or protected:

2. Explain why the record requested is required for the exercise or protection of the aforementioned right:

H. 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

How would you prefer to be informed of the decision regarding your request for access to the record?

Signed at _____ this _____ day of _____ 20__.

SIGNATURE OF REQUESTER/PERSON ON
WHOSE BEHALF REQUEST IS MADE