
MANUAL PREPARED IN TERMS OF SECTION 51 OF THE PROMOTION OF ACCESS TO INFORMATION ACT 2 OF 2000 ("PAIA") AND THE PROTECTION OF PERSONAL INFORMATION ACT 4 OF 2013 ("POPI")

INTRODUCTION

Coreshares Asset Management (Pty) Ltd is an Authorised Financial Services provider approved by the Financial Sector Conduct Authority under the Financial Advisory and Intermediary Services Act with effect from 05 April 2016. Coreshares Asset Management (Pty) Ltd is a passive investment management company specialising in index-tracking investment solutions across Exchange Traded Funds (ETFs), Collective Investment Scheme portfolios and segregated mandates (for institutions).

Our Exchange Traded Funds (ETFs) and Collective Investment Scheme portfolios are provided through Coreshares Index Tracker Managers (RF) (Pty) Ltd, a Manager approved by the Financial Sector Conduct Authority under the Collective Investments Schemes Control Act with effect from 20 July 2007.

Both entities are registered in the Republic of South Africa.

The Head (Managing Director) of Coreshares Asset Management (Pty) Ltd and Coreshares Index Tracker Managers (RF) (Pty) Ltd (collectively referred to "CoreShares") has tasked the Compliance Officer to attend to all matters relating to the PAIA.

PARTICULARS IN TERMS OF SECTION 51 MANUAL

1. CONTACT DETAILS

The Compliance Officer will deal with all information requests relating to CoreShares. Requests for information in terms of this Manual should be directed to:

Compliance Officer

Contact: Mandla Hendricks

Address: 4th Floor, Grindrod Tower, 8a Protea Place,
Sandton, 2194
P.O. Box 78011, Sandton, 2145

Telephone: +27 11 459 1895

Email: compliance@coreshares.co.za

2. THE SECTION 10 GUIDE ON HOW TO USE THE ACT

Should you require greater clarity on or assistance with the Act, refer to the Guide that has been published by the South African Human Rights Commission ('SAHRC') in terms of Section 10 of the Act which includes information on:

- a. what the objects of this Act are
- b. the relevant contact details of each public and private body (where possible)
- c. the process that needs to be followed in order to request access to records

- d. assistance available from the SAHRC and information officers of public bodies
- e. how to get access to the manual of a private body
- f. all the remedies available in law to you
- g. details on prescribed fees payable in respect of requests for information.

This Guide will be made available in such official language as may reasonably be required by a person who wishes to exercise any right contemplated in the Act. Please direct any queries to:

The South African Human Rights Commission

PAIA Unit

The Research and Documentation Department

Postal address: Private Bag 2700 Houghton 2041

Telephone: +27 11 484 8300

Fax: +27 11 484 0582/1360

Website: www.sahrc.org.za

E-mail: PAIA@sahrc.org.za

3. TYPES OF RECORDS

- a. Records available in terms of any other legislation
You may request information that is available in terms of other legislation, such as (but not limited to):
 - Companies Act 71 of 2008
 - Financial Advisory and Intermediary Services Act 37 of 2002
 - Employment Equity Act 55 of 1998
 - Basic Conditions of Employment Act 75 of 1997
 - Foreign Account Tax Compliance Act
 - Employment Equity Act 55 of 1998
 - Financial Intelligence Centre Act 38 of 2001
 - Income Tax Act 58 of 1962
 - Occupational Health and Safety Act 85 of 1993
 - Unemployment Insurance Act 63 of 2001
 - Value-added Tax Act 89 of 1991
 - Collective Investments Schemes Control Act 45 of 2002
 - Protection of Personal Information Act 4 of 2013.
- b. Records available without requesting access in terms of the Act
A private body (CoreShares in this instance) may, on a voluntary and periodic basis, submit to the Minister of Justice and Constitutional Development a description of categories of records, which are automatically available without a person having to request access in terms of the Act. The Minister must publish any description so submitted by notice in the Gazette. CoreShares has not

submitted any such description for publication in the Gazette. Certain records are however freely available on the Internet at www.coreshares.co.za

c. Records available on request

Set out below are the subjects and categories of records that are, subject to access being refused as set out in the PAIA, available for the purposes of the PAIA: records are held on the following subjects:

- i. Personnel records
- ii. Client-related records
- iii. Private body records
- iv. Records in the possession of or pertaining to other parties.

i. Personnel records

Personnel refers to any person who works for or provides services to or on behalf of the private body and receives or is entitled to receive any remuneration and any other person who assists in carrying out or conducting the business of the private body. This includes, without limitation, directors, executives, non-executives, all permanent, temporary and part-time staff as well as contract workers. Personnel records include the following:

- Any personal records provided to the private body by their personnel
- Any records a third party has provided to the private body about any of their personnel
- Conditions of employment and other personnel-related contractual and quasi-legal records
- Internal evaluation records
- Other internal records and correspondence.

ii. Client-related records

A client includes any natural or juristic entity, who receives services from the private body. Client-related information includes the following:

- Any records a client has provided to a third party acting for or on behalf of the private body
- Any records a third party has provided to the private body
- Records generated by or within the private body pertaining to the client, including transactional records.

iii. Private body records

The following are considered to include (but not be limited to) records, which pertain to the private body's own affairs:

- Financial records
- Operational records
- Databases
- Information technology
- Marketing records
- Internal correspondence
- Records relating to products and services
- Statutory records
- Internal policies and procedures
- Treasury-related records

- Securities and equities
- Records held by officials of the private body.

iv. Records in the possession of or pertaining to other parties

The private body may possess records pertaining to other parties, including without limitation contractors, suppliers, subsidiary/ holding/sister companies, joint venture companies, service providers. Alternatively, such other parties may possess records, which can be said to belong to the private body. The following records fall under this category:

- Personnel, client or private body records which are held by another party as opposed to being held by the private body.
- Records held by the private body pertaining to other parties, including without limitation financial records, correspondence, contractual records, records provided by the other party, and records third parties have provided about the contractors / suppliers.

4. PROCESSING OF PERSONAL INFORMATION

In terms of the POPI, data must be processed for a specified purpose. The purpose for which data is processed by CoreShares will depend on the nature of the data and the particular data subject. This purpose is ordinarily disclosed, explicitly or implicitly, at the time the data is collected.

4.1 Purpose of processing

4.1.1 Personnel data

CoreShares processes personnel data for business administration purposes. For example, personnel data is processed for payroll purposes. Personnel data is also processed to the extent required by legislation and regulation. For example, CoreShares discloses employees' financial information to the Commissioner for the South African Revenue Service, in terms of the Income Tax Act 58 of 1962 and employee's sensitive personal information in terms of the Employment Equity Act 55 of 1998.

4.1.2 Client-related data

CoreShares processes client-related records as an integral part of its commercial services. For example, CoreShares processes client-related records during the client application process and in assessing a client's profile and risk.

4.1.3 Third party data

CoreShares processes third party records for business administration purposes.

4.1.4 Other party data

CoreShares processes "other party" records for business administration purposes. For example, personnel data may be processed in order to effect payment to contractors and / or suppliers.

In performing these various tasks, CoreShares may, amongst others, collect, collate, process, store and disclose personal information.

4.2 to whom personal information will be supplied

Depending on the nature of the data, CoreShares may supply information or records to the following categories of recipients:

- Statutory oversight bodies, regulators or judicial commissions of enquiry making a request for data (i.e. the Financial Sector Conduct Authority in terms of the Collective Investments Schemes Control Act 45 of 2002).
- Any court, administrative or judicial forum, arbitration, statutory commission, or ombudsman making a request for data or CoreShares in terms of the applicable rules (i.e. the Competition Commission in terms of the Competition Act 89 of 1998).
- South African Revenue Services, or another similar authority
- Third parties with whom CoreShares has a contractual relationship for the retention of data (for example, a third-party archiving service).
- Auditing and accounting bodies (internal and external).
- Anyone making a successful application for access in terms of the PAIA.

4.3 Security measures

CoreShares takes extensive information security measures to ensure the confidentiality, integrity and availability of Personal Information in its possession and also takes appropriate technical and organizational measures designed to ensure that personal data remain confidential and secure against unauthorized or unlawful processing and against accidental loss, destruction or damage.

5. AVAILABILITY OF THE MANUAL

Copies of this Manual are available for inspection, free of charge, at CoreShares' offices. Copies are also available from the South African Human Rights Commission and on the website (www.coreshares.co.za). This Manual may also be requested at a fee in terms of the PAIA.

6. PROCEDURE TO REQUEST ACCESS TO INFORMATION

A person who wants access CoreShares' records must complete the necessary request form. The request form can be found below as "Appendix A" or at www.sahrc.org.za.

If a person requires assistance to obtain the form or on any other matter, that person may contact the Compliance Officer at the telephone number provided in paragraph 1. The completed request form must be sent to the address provided in paragraph 1 and marked for the attention of the Compliance Officer.

The Compliance Officer will process the request and inform the requester of the fees (if any) that are payable and of the different procedures that must be followed until the request is finalised. A copy of the fee structure applicable to private bodies can be found below as "Appendix B." All the pertinent sections must be completed fully, failing which the process will be delayed while the Compliance Officer obtains such additional information.

7. RIGHT OF ACCESS AND REFUSAL

- 7.1 Both PAIA and POPI entitles a requester of information to have access CoreShares' records, if:
- Access is needed to exercise or protect any of the requesters' rights
 - The requester submits a request to access information in accordance to the procedure set out in this manual.
 - CoreShares does not have grounds for refusing a requester access to information.
- 7.2 CoreShares has a right to refuse access to information request on the grounds set out in Chapter 4 of the PAIA. Mandatory grounds for refusal include, but are not limited to:
- Information for the protection of the privacy of individuals
 - Information for the protection of commercial information and confidential information of third parties
 - Information privileged from production in legal proceedings
 - Commercial information of the company
 - Research information.

8. REMEDIES

CoreShares does not have internal appeal procedures. As such, the decision made by the Compliance Officer is final. If your request is denied, you are entitled to apply to a court with appropriate jurisdiction for relief.

Signed at Sandton on the _____ day of _____ 2019.

Gareth Stobie

Managing Director

Coreshares Asset Management (Pty) Ltd; and

Coreshares Index Tracker Managers (RF) (Pty) Ltd

APPENDIX A

FORM C

REQUEST FOR ACCESS TO RECORD OF PRIVATE BODY
 (Section 53(1) of the Promotion of Access to Information Act,
 2000
 [Act No. 2 of 2000]
 [Regulation 10]

A. Particulars of private body

The Head: _____

B. Particulars of person requesting access to the record

- (a) The 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:

C. 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: _____

D. 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.

1. Description of record or relevant part of the record:

2. Reference number, if available:

3. Any further particulars of record:

E. 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:

F. Form of access to record

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 hereunder, state your disability and indicate in which form the record is required.

Disability: _____

Form in which record is required: _____

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 for the record, if any, will be determined partly by the form in which access is requested.

Mark the appropriate box with an X**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?

Postage is payable.

- YES
- NO

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.

(a) Indicate which right is to be exercised or protected:

(b) 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 Sandton on the _____ day of _____ 2019.

SIGNATURE OF REQUESTER / PERSON ON
WHOSE BEHALF REQUEST IS MADE

APPENDIX B

FEE SCHEDULE

Fees Payable in respect of Private Bodies

1. The fee for a copy of the manual as contemplated in regulation 9(2)(c) is R1,10 for every photocopy of an A4-size page or part thereof.

No.	Details	Fee (Rand)
2.	The fees for reproduction referred to in Section 52(3) of the regulations are as follows:	
(a)	For every photocopy of an A4-size page or part thereof	1.10
(b)	For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form	0.75
(c)(i)	For a copy in a computer-readable form on stiffy disk	7.50
(c)(ii)	For a copy in a computer-readable form on compact disk	70.00
(d)(i)	For a transcription of visual images for an A4-size page or part thereof	40.00
(d)(ii)	For a transcription of visual images for a copy of visual images	60.00
(e)(i)	For a transcription of an audio record for an A4-size page or part thereof	20.00
(e)(ii)	For a transcription of an audio record for a copy of an audio record	30.00
3.	The request fee payable by a requester, other than a personal requester, referred to in Section 54(1) of the regulations is as follows:	50.00
4.	The access fees payable by a requester referred to in Section 54(8) of the regulations are as follows:	
4.1(a)	For every photocopy of an A4-size page or part thereof	1.10
4.1(b)	For every printed copy of an A4-size page or part thereof held on a computer or in electronic or machine-readable form	0.75
4.1(c)(i)	For a copy in a computer-readable form on stiffy disk	7.50
4.1(c)(ii)	For a copy in a computer-readable form on compact disk	70.00
4.1(d)(i)	For a transcription of visual images for an A4-size page or part thereof	40.00
4.1(d)(ii)	For a transcription of visual images for a copy of visual images	60.00
4.1(e)(i)	For a transcription of an audio record for an A4-size page or part thereof	20.00
4.1(e)(ii)	For a transcription of an audio record for a copy of an audio record	30.00
4.1(f)	To search for and prepare the record for disclosure, for each hour or part of an hour reasonably required for such search and preparation.	30.00
4.2	The actual postage is payable when a copy of a record must be posted to a requester.	
4.3	For purposes of section 54(2) of the PAIA, the following applies:	
4.3(a)	Six hours as the hours to be exceeded before a deposit is payable and	
4.3(b)	one third of the access fee is payable as a deposit by the requester.	