

| 2021 / 2022 |

StratumBenefits<sup>+</sup>



PROMOTION OF ACCESS TO INFORMATION ACT (PAIA)  
NO. 2 OF 2002, SECTION 51

## INTRODUCTION

Stratum Benefits is an authorised Financial Services Provider (FSP) who offers financial advice and intermediary services to clients on financial products under a license issued in terms of the Financial Advisory and Intermediary Services Act (FAIS) 37 of 2002.

[Details in terms of Section 51 of the PAIA Act](#)

## CONTACT DETAILS

### STRATUM BENEFITS (PTY) LTD

Marco Fonto - Key Individual

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A hard copy of this document is available from the South African Human Rights Commission or via their website:

The South African Human Rights Commission – PAIA Unit  
The Research and Documentation Department  
Private Bag 2700, Houghton, 2041

**t** 011 877 3600

**f** See SAHRC website for regional office fax numbers

**w** [www.sahrc.org.za](http://www.sahrc.org.za)

**e** [tsebulela@sahrc.org.za](mailto:tsebulela@sahrc.org.za)

## RECORDS AVAILABLE IN TERMS OF OTHER LEGISLATION

- Basic Conditions of Employment Act No. 75 of 1997
- Collective Investments Schemes Control Act No. 45 of 2002
- Companies Act No. 71 of 2008
- Compensation for Occupational Injuries and Health Diseases Act No. 130 of 1993
- Consumer Protection Act No. 68 of 2008
- Employment Equity Act No.55 of 1998
- Financial Services Laws General Amendment Act 45 of 2013
- Financial Advisory and Intermediary Services Act No. 37 of 2002
- Financial Intelligence Centre Act No. 38 of 2001
- Financial Institutions (Protection of Funds) Act No. 28 of 2001
- Financial Services Board Act No. 97 of 1990
- Financial Services Ombud Schemes Act No. 37 of 2004
- Friendly Societies Act No. 25 of 1956
- Income Tax Act No. 58 of 1962
- Insurance Laws Amendment Act No. 27 of 2008
- Labour Relations Act No. 66 of 1995
- Long-Term Insurance Act No. 52 of 1998
- Medical Schemes Act No. 131 of 1998
- Occupational Health and Safety Act No. 85 of 1993
- Pension Funds Act No. 24 of 1956
- Prevention of Organised Crime Act No. 121 of 1998
- Protection of Constitutional Democracy against Terrorist and Related Activities Act No. 33 of 2004
- Security Services Act No. 36 of 2004
- Short Term Insurance Act No. 53 of 1998
- Skills Development Act No.97 of 1998
- Skills Development Act No.97 of 1998
- Unemployment Contributions Act No. 4 of 2002
- Unemployment Insurance Act No. 63 of 2001
- Value Added Tax Act No. 89 of 1991



## ACCESS TO RECORDS HELD BY STRATUM BENEFITS

The latest notices of records are accessible and available to you at no cost:

- Brochures
- Documents related to business marketing activities
- Pamphlets

## 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 registers and benefits policies

### OPERATIONS

- Production records
- 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
- Client lists

### FINANCES

- Accounting and audit records
- Financial statements
- Assets inventory

## FORM OF REQUEST – ANNEXURE A

Use the prescribed form to request access to a record.

Address it to: Stratum Benefits Director, and send it by post, fax or email.

Provide sufficient details to help us identify the person requesting a record and to find the record.

Also indicate the preferred communication method in which the record must be shared, and identify which right needs to be exercised or protected and provide an explanation.

If your request to access a record is made on behalf of someone else, submit proof that confirms you're allowed to do so. Your reason must satisfy the Director of the private body.

## FEES PAYABLE FOR A REQUEST – ANNEXURE B

A fee isn't payable if personal information is requested about yourself, but will be payable if it's requested about someone else.

We'll notify you of the fee before processing your request.

The fee payable to the Director is **R 50.00**, however, you may lodge an application to the court for the fee to be waived.

If the request is granted, an access fee will still be payable for the search, reproduction, preparation and time that exceeds the prescribed hours to search for and prepare the record.

## OTHER INFORMATION THAT MAY BE PRESCRIBED

The Minister of Justice and Constitutional Development hasn't made any regulations in this regard.

## AVAILABILITY OF THE PAIA MANUAL

The manual can be seen at the offices of Stratum Benefits free of charge. Copies are also available from the SAHRC.



**1. DETAILS OF THE PERSON REQUESTING ACCESS TO A RECORD**

Full Name <input type="text"/>	Surname <input type="text"/>	Identity / Passport Number <input type="text"/>
Postal Address <input type="text"/>		
Telephone Number <input type="text"/>	Fax Number <input type="text"/>	E-mail Address <input type="text"/>

**2. DETAILS OF THE PERSON REQUESTING ACCESS TO A RECORD ON BEHALF OF ANOTHER PERSON**

Full Name <input type="text"/>	Surname <input type="text"/>	Identity / Passport Number <input type="text"/>
Capacity <input type="text"/>		

**3. DETAILS OF THE RECORD**

- Provide full details of the requested record, including the reference number if available, to help us find the record.
- If more space is needed, continue on a separate page that's been signed and attach it to this form.

Description or relevant part of the record <input type="text"/>	Reference number, if available <input type="text"/>	Additional details of the record <input type="text"/>
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**4. FEES**

- Requests to access records will be processed after the requested fee is paid. Requests to access your own personal records are free of charge.
- You'll be notified of the required fee amount.
- Fees are determined by the format in which a record is required and the time needed to search for the record and the preparation of it.
- If you qualify for exemption of paying a fee, state the reason below.

## 5. FORMAT OF THE RECORD

If you're unable to read, view or listen to the record in the format it's provided in due to a disability, indicate your disability and the format the record must be provided in.

Disability

Preferred format

- Accessibility to the record may be restricted depending on the format the record is available in.
- In certain instances we may refuse access to a record in the format it's requested in. In such cases, we'll let you know if access can be granted in a different format.
- The fee payable, if any, will be determined partly by the format in which access is requested.

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

Copy of record  Inspection of record

2. If the record consists of visual images (photographs, slides, video recordings, computer-generated images, sketches, etc):

View images  Copy of images  Transcription of images

3. If the record consists of recorded words or information which can be reproduced in sound:

Listen to soundtrack (Audio cassette)  Transcription of soundtrack (Written or printed document)

4. If the record is held on computer or in an electronic or machine-readable form:

Printed copy  Printed copy of information derived from record  Copy in computer-readable form

- Should any copy or transcription that you've requested be posted to you?

Yes  No

Postage is payable.

## 6. RIGHT TO BE EXERCISED OR PROTECTED

If more space is needed, continue on a separate page that's been signed and attach it to this form.

Which right is to be exercised or protected?

Explain why the requested record is required for the right mentioned:

## 7. OUTCOME OF REQUEST FOR ACCESS TO A RECORD

You'll be notified in writing if your request to access a record has been approved or declined. If you prefer to be notified in another manner, please specify your preference and provide the necessary details for us to comply.

How should we inform you of our decision regarding your request to access a record?

Signed at  on this  day of  20

Full Name of Requester / Person on whose behalf the request is made

Signature of Requester / Person on whose behalf the request is made

### ANNEXURE B - FEES IN RESPECT OF PRIVATE BODIES

The fee for a copy of the manual referred to in Regulation 9(2) (c) is **R 1.10** for every photocopy of an A4-size page or part thereof.

1. Fees for reproduction referred to in Regulation 11(1) are as follows:

A4-size page or part thereof per photocopy	R 1.10
A4-size page or part thereof held on a computer or in electronic or machine-readable format per printed copy	R 0.75

2. Copy in a computer-readable format on:

Compact disc	R 70.00
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3. Transcription of visual images:

A4-size page or part thereof	R 40.00
Copy of visual images	R 60.00

4. Transcription of an audio record:

A4-size page or part thereof	R 20.00
Copy of an audio record	R 30.00

The fee payable by you to access a record referred to in Regulation 11(2) is **R 50.00** unless the request is for personal information about yourself.

5. Access fee payable by a requester referred to in Regulation 11(3) are as follows:

A4-size page or part thereof per photocopy	R 1.10
A4-size page or part thereof held on a computer or in electronic or machine-readable format per printed copy	R 0.75

6. Copy in a computer-readable format on:

Compact disc	R 70.00
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7. Transcription of visual images:

A4-size page or part thereof	R 40.00
Copy of visual images	R 60.00

8. Transcription of an audio record:

A4-size page or part thereof	R 20.00
Copy of an audio record	R 30.00

For purposes of Section 54(2) of the Act, the following applies:

- Six hours must be exceeded before a deposit is payable; and
- one third of the access fee is payable as a deposit.

Postage costs are payable by you when a copy of a record is to be posted.