



**HSBC's MANUAL**

PARTICIPANT IN THE FINANCIAL SERVICES INDUSTRY

**PROMOTION OF ACCESS TO INFORMATION ACT NO 2 OF 2002**

PREPARED IN ACCORDANCE WITH SECTION 51 OF THE PROMOTION OF  
ACCESS TO INFORMATION ACT, NO 2 OF 2000

THE HONGKONG AND SHANGHAI BANKING CORPORATION LIMITED  
JOHANNESBURG BRANCH

HSBC SECURITIES (SOUTH AFRICA) (PTY) LTD



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## **1. CONTACT DETAILS**

### **1.1. Information Officer: Henk Crouse**

Postal address: Private Bag X 785434, Sandton, 2146

Physical Address: 2 Exchange Square, 85 Maude Street, Sandown, 2196

Tel: (011) 676 4233

Fax: (011) 676 2289

E-mail: [henk.crouse@za.hsbc.com](mailto:henk.crouse@za.hsbc.com)

### **1.2. Deputy Information Officer: Willem Kruger**

Postal address: Private Bag X 785434, Sandton, 2146

Physical Address: 2 Exchange Square, 85 Maude Street, Sandown, 2196

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Fax: (011) 676 2289

E-mail: [willem.kruger@za.hsbc.com](mailto:willem.kruger@za.hsbc.com)

The Information Officer and The Deputy Information Officer can also be contacted at the details below.

### **1.3. GENERAL INFORMATION**

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Physical Address: 2 Exchange Square, 85 Maude Street, Sandown, 2196

Telephone Number: (011) 676 4000

Facsimile number: (011) 676 2289

Website: [www.hsbc.com](http://www.hsbc.com)

## PART II

### 2. GUIDE OF SOUTH AFRICAN HUMAN RIGHTS COMMISSION

The South African Human Rights Commission has at the date of printing hereof not yet compiled the guide contemplated in Section 10 of the Act. The guide will contain such information as may reasonably be required by a person who wishes to exercise any right contemplated in the Act. Any enquiries regarding this guide should be directed to:

**The South African HUMAN RIGHTS COMMISSION,  
at PAIA Unit (THE RESEARCH AND DOCUMENTATION DEPARTMENT),  
Private Bag X2700, HOUGHTON, 2041;  
Telephone Number: (011) 484-8300;  
Facsimile Number: (011) 484-1360;  
Website: [www.sahrc.org.za](http://www.sahrc.org.za);  
E-mail Address: [PIAI@sahrc.org.za](mailto:PIAI@sahrc.org.za).**

## PART III

### 3. RECORDS OF THE BANKING INDUSTRY

This clause serves as a reference to the records that the institutions within the banking industry hold in order to facilitate a request in terms of the Act.

The information is classified and grouped according to records relating to the following subjects and categories:

It is recorded that the accessibility of the documents listed herein below, may be subject to the grounds of refusal set out hereinafter.

#### 3.1. PERSONNEL RECORDS

- Personal records provided by personnel;
- Records provided by a third party relating to personnel;
- Conditions of employment and other personnel-related contractual and quasi-legal records;
- Internal evaluation records and other internal records;
- Correspondence relating to personnel;
- Training schedules and material;

*“Personnel”* refers to any person who works for, or provides services to or on behalf of the institution, and receives or is entitled to receive remuneration and any other person who assists in carrying out or conducting the business of the institution. This includes, without limitation, directors (executive and non-

executive), all permanent, temporary and part-time staff, as well as contract workers.

### **3.2. CUSTOMER RELATED RECORDS**

- Records provided by a customer to a third party acting for or on behalf of the institution in the banking industry;
- Records provided by a third party;
- Records generated by or within the institution in the banking industry relating pertaining to its customers, including transactional records;

A “*customer*” refers to any natural or juristic entity that receives services from the institution.

### **3.3. PRIVATE BODY RECORDS**

- Financial records;
- Operational records;
- Databases;
- Information Technology;
- Marketing records;
- Internal correspondence;
- Product records;
- Statutory records;
- Internal Policies and Procedures;
- Treasury-related records;
- Trade-related records;
- Securities and Equities; and
- Records held by officials of the institution.

These records include, but are not limited to, the records which pertain to the institution’s own affairs.

### **3.4. OTHER PARTY RECORDS**

- Personnel, customer or private body records which are held by another party, as opposed to the records held by the institution itself;

- Records held by the institution 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.

The institution may possess records pertaining to other parties, including without limitation contractors, suppliers, subsidiary/holding/sister companies, joint venture companies, and service providers. Alternatively, such other parties may possess records that can be said to belong to the institution.

## **PART IV**

### **4. GROUNDS FOR REFUSAL OF ACCESS TO RECORDS**

The main grounds for the institution to refuse a request for information relates to the -

- 4.1. mandatory protection of the privacy of a third party who is a natural person, which would involve the unreasonable disclosure of personal information of that natural person;
- 4.2. mandatory protection of the commercial information of a third party, if the record contains –
  - trade secrets of that third party;
  - financial, commercial, scientific or technical information which disclosure could likely cause harm to the financial or commercial interests of that third party;
  - information disclosed in confidence by a third party to the institution, if the disclosure could put that third party at a disadvantage in negotiations or commercial competition;
- 4.3. mandatory protection of confidential information of third parties if it is protected in terms of any agreement;
- 4.4. mandatory protection of the safety of individuals and the protection of property;
- 4.5. mandatory protection of records which would be regarded as privileged in legal proceedings;
- 4.6. the commercial activities of the institution, which may include –
  - trade secrets of the institution;
  - financial, commercial, scientific or technical information which disclosure could likely cause harm to the financial or commercial interests of the institution;
  - information which, if disclosed could put the institution at a disadvantage in negotiations or commercial competition;

- a computer program which is owned by the institution, and which is protected by copyright.
- 4.7. the research information of the institution or a third party, if its disclosure would disclose the identity of the institution, the researcher or the subject matter of the research and would place the research at a serious disadvantage;

Requests for information that are clearly frivolous or vexation, or which involve an unreasonable diversion of resources shall be refused.

## **5. REMEDIES AVAILABLE WHEN AN INSTITUTION REFUSES A REQUEST FOR INFORMATION**

### **5.1. INTERNAL REMEDIES**

The institutions do not have internal appeal procedures. As such, the decision made by the information officer is final, and requestors will have to exercise such external remedies at their disposal if the request for information is refused, and the requestor is not satisfied with the answer supplied by the information officer.

### **5.2. EXTERNAL REMEDIES**

A requestor that is dissatisfied with an information officer's refusal to disclose information, may within 30 days of notification of the decision, apply to a Court for relief.

Likewise, a third party dissatisfied with an information officer's decision to grant a request for information, may within 30 days of notification of the decision, apply to a Court for relief. For purposes of the Act, the Courts that have jurisdiction over these applications are the Constitutional Court, the High Court or another court of similar status.

## **6. REQUEST PROCEDURE**

- 6.1. The requester must comply with all the procedural requirements contained in the Act relating to the request for access to a record.
- 6.2. The requester must complete the prescribed form enclosed herewith in **Appendix 1**, and submit same as well as payment of a request fee and a deposit, if applicable to the Information Officer or the Deputy Information Officer at the postal or physical address, fax number or electronic mail address as stated in 3.1 or 3.2 above.
- 6.3. The prescribed form must be filled in with enough particularity to at least enable the Information Officer to identify –
- 6.3.1. The record or records requested;
  - 6.3.2. The identity of the requester,
  - 6.3.3. Which form of access is required, if the request is granted;

- 6.3.4. The postal address or fax number of the requester.
- 6.4. The requester must state the he requires the information in order to exercise or protect a right, and clearly state what the nature of the right is so to be exercised or protected. In addition, the requester must clearly specify why the record is necessary to exercise or protect such a right.
- 6.5. The institution will process the request within 30 days, unless the requestor has stated special reasons which would satisfy the Information officer that circumstances dictate that the above time periods not be complied with.
- 6.6. The requester shall be informed whether access granted or denied. If, in addition, the requester requires the reasons for the decision in any other manner, he must state the manner and the particulars so required.
- 6.7. If a request is made on behalf of another person, then the requester must submit proof of the capacity in which the requester is making the request to the reasonable satisfaction of the information officer.
- 6.8. If an individual is unable to complete the prescribed form because of illiteracy or disability, such a person may make the request orally.
- 6.9. The requester must pay the prescribed fee, before any further processing can take place.

## **7. ACCESS TO RECORDS HELD BY THE INSTITUTION**

- 7.1. Records held by the institution may be accessed by requests only once the prerequisite requirements for access have been met.
- 7.2. A requester is any person making a request for access to a record of the institution. There are two types of requesters:

### **7.2.1. PERSONAL REQUESTER**

- A personal requester is a requester who is seeking access to a record containing personal information about the requester.
- The institution will voluntarily provide the requested information, or give access to any record with regard to the requester's personal information. The prescribed fee for reproduction of the information requested will be charged.

### **7.2.2. OTHER REQUESTER**

- This requester (other than a personal requester) is entitled to request access to information on third parties. However, the institution is not obliged to voluntarily grant access. The requester must fulfil the prerequisite requirements for access in terms of the Act, including the payment of a request and access fee.

## **8. FEES**

8.1. The Act provides for two types of fees, namely:

- A request fee, which will be a standard fee; and
- An access fee, which must be calculated by taking into account reproduction costs, search and preparation time and cost, as well as postal costs.

8.2. When the request is received by the Information Officer, such officer shall by notice require the requester, other than a personal requester, to pay the prescribed request fee (if any), before further processing of the request.

8.3. If the search for the record has been made and the preparation of the record for disclosure, including arrangement to make it available in the requested form, requires more than the hours prescribed in the regulations for this purpose, the information officer shall notify the requester to pay as a deposit the prescribed portion of the Access fee which would be payable if the request is granted.

8.4. The information officer shall withhold a record until the requester has paid the fees as indicated in **Appendix 2**.

8.5. A requester whose request for access to a record has been granted, must pay an access fee for reproduction and for search and preparation, and for any time reasonably required in excess of the prescribed hours to search for and prepare the record for disclosure including making arrangements to make it available in the request form.

8.6. If a deposit has been paid in respect of a request for access, which is refused, then the information officer concerned must repay the deposit to the requester.

## **9. DECISION**

9.1. The institution will, within 30 days of receipt of the request, decide whether to grant or decline the request and give notice with reasons (if required) to that effect.

9.2. The 30 day period with which the institution has to decide whether to grant or refuse the request, may be extended for a further period of not more than thirty days if the request is for a large number of information, or the request requires a search for information held at another office of the institution and the information cannot reasonably be obtained within the original 30 day period. The institution will notify the requester in writing should an extension be sought.

## **10. LIST OF APPLICABLE LEGISLATION:**

10.1. A table of legislation setting out a description of the records of the institution which are available in accordance with other legislation, is Included in the compliance policy COMP 001 Compliance Chart.

## **11. AVAILABILITY OF THE MANUAL**

11.1. This manual is made available in terms of Regulation Number R. 187 of 15 February 2002.

11.2. The manual of the institution will also be available on the website of the institution.

PRESCRIBED FORM TO BE COMPLETED BY A REQUESTER

FORM B

REQUEST FOR ACCESS TO RECORDS OF PRIVATE BODY

[Empty rectangular box]

(Section 53(1) of the Promotion of Access to Information Act, No 2 of 2000)  
(Regulation 4)

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 records must be recorded below.*
- (b) *Furnish an address and/or fax number in the Republic to which information must be sent.*
- (c) *Proof of the capacity in which the request is made, if applicable, must be attached.*

Full Name and Surname: \_\_\_\_\_

Identity Number: \_\_\_\_\_

Postal Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

Capacity in which request is made, when made on behalf of another person:  
\_\_\_\_\_  
\_\_\_\_\_

**C. Particulars of person of 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 the Record or relevant part of the record:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Reference number, if

available: \_\_\_\_\_

2. Any further particulars of the 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 of the request fee.*

- (c) *The fee payable for access to a record depends on the form in which the 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 therefore.*

Reason for exemption of payment of the fee:

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**F. Form of Access to the 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:
<hr/>	<hr/>
<hr/>	<hr/>
<hr/>	<hr/>

Mark the appropriate box with an "X"

**NOTES:**

- (a) *Your indication as to the required form of access depends 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.*

<b>1. If the record is in written or printed form:</b>			
	Copy of record *		Inspection of record

<b>2. If the record consists of visual images:</b> (This includes photographs, slides, video recordings, computer-generated images, sketches, etc.)					
	View the images		Copy of the images *		Transcription of the images*

<b>3. If the record consists of recorded words or information which can be reproduced in sound:</b>			
	Listen to the soundtrack (audio cassette)		Transcription of soundtrack * (written or printed document)

<b>4. If the record is held on computer or in an electronic or machine-readable form:</b>					
	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? <b>A postal fee is payable.</b>	YES	NO
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**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***

Indicate which right is to be exercised or protected:

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1. Explain why the requested record is required for the exercising or protection of the aforementioned right:

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**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 thereof 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?

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Signed at \_\_\_\_\_ this \_\_\_\_\_ day of  
\_\_\_\_\_ 200\_\_

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REQUESTER/PERSON

SIGNATURE OF

BEHALF REQUEST IS MADE

ON WHOSE

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**APPENDIX – 2**

## **REPRODUCTION FEES**

Where requested document appear in the appendix 1 i.e. the institution has voluntarily provided the Minister with a list of categories of records that will automatically be made available to any person requesting access thereto, the only charge that may be levied for obtaining such records, will be a fee for reproduction of the record in question.

THE APPLICABLE FEES FOR REPRODUCTION AS REFERRED TO ABOVE ARE:

R

- |  |       |
|--|-------|
| • For every photocopy of an A4-size page or part thereof   | 1,10  |
| • 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  |
| • For a copy in a computer-readable form on  |       |
| - Stiffy disc  | 7,50  |
| - Compact disc   | 70,00 |
| • A transcription of visual images, for an A4-size page or part thereof  | 40,00 |
| • For a copy of visual images  | 60,00 |
| • A transcription of an audio record, for an A4-size page or part thereof  | 20,00 |
| • For a copy of an audio record  | 30,00 |

### **Request fees:**

Where a requester submits a request for access to information held by an institution on a person other than the requester himself/herself, a request fee in the amount of R50,00 is payable up-front before the institution will further process the request received.

**Access fees:**

An access fee is payable in all instances where a request for access to information is granted, except in those instances where payment of an access fee is specially excluded in terms of the Act or an exclusion is determined by the Minister in terms of Section 54 (8).

The applicable access fees which will be payable are:	R
• For every photocopy of an A4-size page or part thereof	1,10
• 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

	R	
• For a copy in a computer-readable form on		
- Stiffy disc	7,50	
- Compact disc	70,00	
• A transcription of visual images, for an A4-size page or part thereof		40,0
• For a copy of visual images	60,00	
• A transcription of an audio record, for an A4-size page or part thereof		20,00
• For a copy of an audio record	30,00	
• To search for a record that must be disclosed Hour or part of an hour reasonably required for such search.	30,00 per	
• Where a copy of a record needs to be posted the actual postal fee is payable.		

**Deposits:**

Where the institution receives a request for access to information held on a person other than the requester himself/herself and the information officer upon receipt of the request is of the opinion that the preparation of the required record of disclosure will take more than 6 (six) hours, a deposit is payable by the requester.

The amount of the deposit is equal to  $\frac{1}{3}$  (one third) of the amount of the applicable access fee.

Note: In terms of Regulation 8, Value Added Tax (VAT) must be added to all fees prescribed in terms of the Regulations.

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