

The Financial Alliance (Pty) Ltd – PAIA Manual

Last updated: October 2025

Compiled 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 (“POPIA”).

1. Introduction

This manual is published in accordance with Section 51 of the Promotion of Access to Information Act, 2 of 2000 (“PAIA”). The purpose of this manual is to assist members of the public in understanding how to request access to information held by The Financial Alliance (Pty) Ltd (“TFA”). It also promotes transparency, accountability, and good governance in compliance with the PAIA and the Protection of Personal Information Act (“POPIA”).

2. Company Details

Registered Name: The Financial Alliance (Pty) Ltd

Registration Number: 1992/070153/07

FSP License Number: 6561 (Category I)

Registered Address: 3 Ostend Avenue, Modderfontein, Johannesburg, South Africa

Postal Address: Suite 218, Private Bag X11, Craighall, 2024

Telephone: +27 (0)11 501 2000

Email: ops@financialalliance.co.za

Website: www.financialalliance.co.za

Information Officer: Susan Burrow – The Financial Alliance (Pty) Ltd

3. The PAIA Act

The Promotion of Access to Information Act gives effect to the constitutional right of access to information that is required to exercise or protect any rights. Requests for information must be made in accordance with the procedures outlined in this manual.

4. Categories of Information Held by TFA

TFA holds the following categories of records, which may be requested in terms of PAIA, subject to applicable grounds for refusal under the Act:

Company Records:

- Incorporation documents
- Board resolutions and minutes
- Statutory returns

Financial Records:

- Annual financial statements
- Tax records and invoices
- Banking and accounting records

Client and Business Records:

- Client files, application forms, and investment documentation
- Records of advice and disclosures in terms of FAIS
- Correspondence with product providers

Human Resources Records:

- Employee details, contracts, and payroll
- Training and compliance records

Compliance and Governance Records:

- FAIS and FICA compliance manuals
- Risk management and internal control policies
- Conflict of interest and complaints registers
- PAIA and POPIA compliance records

5. Information Automatically Available

The following information is automatically available on TFA's website and does not require a formal request under PAIA:

- Company contact details and FSP license information
- Terms of Use and Disclaimer
- Privacy and Cookie Policy
- Conflict of Interest Management Policy
- Complaints Resolution Policy
- This PAIA Manual

6. Request Procedures

To request access to information held by TFA, a requester must:

1. Complete the prescribed **Form C**, available from the Information Regulator's website (www.justice.gov.za/inforeg/);
2. Submit the form, together with the applicable request fee, to the Information Officer at:
Email: ops@financialalliance.co.za | Address: 3 Ostend Avenue, Modderfontein, Johannesburg;
3. Provide sufficient details to identify the requested record and the requester's right of access;
4. Indicate the preferred method of access (e.g., electronic copy or inspection).

Requests will be processed within **30 days** unless extended in accordance with PAIA provisions.

7. Fees Payable

A request fee and an access fee (if applicable) are payable in accordance with the PAIA Fee Regulations. Fees are prescribed by the Information Regulator and may vary depending on the nature of the request. No fee will be charged for requests relating to the requester's personal information.

8. Grounds for Refusal

TFA may refuse a request for access to information in certain circumstances, including where the record:

- Contains personal information about a third party;
- Would constitute a breach of confidentiality owed to another party;
- Relates to commercially sensitive information or trade secrets; or
- Is protected by legal privilege.

Where access is refused, written reasons will be provided to the requester, and the requester may lodge an internal appeal or complaint with the Information Regulator.

9. Remedies Available

If a requester is dissatisfied with TFA's decision, they may lodge a complaint with the **Information Regulator**.

Information Regulator Contact Details:

Physical Address: JD House, 27 Stiemens Street, Braamfontein, Johannesburg, 2001

Email: infoereg@justice.gov.za

Website: www.justice.gov.za/infoereg/

10. Availability of the Manual

This PAIA Manual is available for inspection at TFA's offices during business hours and on the company's website at www.financialalliance.co.za. A copy may also be requested by email.

11. Approval

Approved by: The Board of Directors and Information Officer

The Financial Alliance (Pty) Ltd

Authorised Financial Services Provider (FSP 6561) | Reg. No. 1992/070153/07