

PAIA Manual for FMI

Policy and Procedure

Version 2

Underwritten by:



PAIA Manual for Financial Management International Ltd (“FMI”)

As at 24 January 2013

As required by s51(1) of the Promotion of Access to Information Act 2 of
2000 (“PAIA”)

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1. Introduction to FMI

FMI is an Authorised Financial Services Provider that provides financial services under a license issued in terms of the Financial Advisory and Intermediary Services Act 37 of 2002.

2. Information required under section 51(1)(a) of the Act

Name of business: Financial Management International

Designated Person: Wikus Joubert

Street Address: FMI, 301 Beacon Rock, Lighthouse Road, Umhlanga Rocks, 4320

Postal Address: Postnet Suite 91, Private Bag X01, Umhlanga Rocks, 4320

Telephone number: (031) 538 3500

Fax number: 086 110 5820

Email address: wikusj@fmi.co.za

3. Description of guide referred to in section 10: section 51(1)(b)

A guide has been compiled in terms of Section 10 of PAIA by the South African Human Rights Commission. It contains information required by a person wishing to exercise any right contemplated by PAIA. This guide is available in all of the official languages.

The guide on how to use PAIA is available on the website of the South African Human Rights Commission, www.sahrc.org.za or at:

The South African Human Rights Commission, PAIA Unit

Private Bag 2700

Houghton 2041, Johannesburg

Tel. (011) 484 8300

Fax (011) 484 7146

4. Categories of Record available without need for request in terms of PAIA: section 51(1)(c)

FMI does not keep any records in terms of section 51(1)(c), read with section 52(2) of PAIA, that may be accessed without a person having to request access in terms of PAIA.

5. Records available in terms of other legislation: section 51(1)(d)

Records required by other legislation are listed in paragraph 8 of this manual.

6. Details on how to make a request for access: section 51(e)

A request made to FMI must be made in the prescribed form. Such form is attached to this manual as Form C which requirements are set out below.

Such request must be made to FMI's Designated Person (as stipulated in paragraph 2 of this manual) at the address, fax number or electronic mail address of FMI (as stipulated in paragraph 2 of this manual) and it must be accompanied by the request fee. Such a fee will be in accordance with the fee structure set out in PAIA and Government Gazette Notice No. 7024.

The request submitted by the requester must provide sufficient particulars to enable FMI to identify the record that is being requested and the identity of the requester.

The request must also include which form of access is required as well as a postal address or fax number of the requester in South Africa.

The request must identify the right that the requester is seeking to exercise or protect and provide an explanation of why the requested record is required for the exercise or protection of that right.

The requester will be notified in writing whether the request has been approved or denied. Should the requester wish to be informed in some other manner the requester must state that manner and the necessary particulars to be so informed.

Furthermore if the request is being made on behalf of a person, the requester must submit sufficient proof of the capacity in which the requester is making the request to the reasonable satisfaction of FMI.

7. Internal procedure

Upon receipt of a form requesting access to a record or records held by FMI, the request will be forwarded to FMI's compliance department.

A decision will then be made on whether to allow the requester access to the records. The requester will be notified in the prescribed manner no later than 30 days from the date of receipt of the request.

Should the request be accepted, FMI will notify the requester of:

- The access fee to be paid. Such a fee will be in accordance with the fee structure set out in PAIA and Government Gazette Notice No. 7024 and is in addition to the request fee referred to above;
- The form in which access may be given; and
- The fact that the requester may lodge an application with a court against the access fee to be paid or against the form of access granted by FMI. FMI will notify the requester of the procedure for lodging such an application.

8. Records held by FMI

Records held by FMI include:

Administration:

Financial Services Provider Licence

Documents of incorporation

Memorandum and Articles of Association / Memorandum of Incorporation

Human Resources:

Employment contracts

Representative Mandates

Policies and procedures

Training manuals and records

Operations:

Compliance reports
Complaints procedures and register
FICA internal compliance policy
Register of key individuals
Register of representatives
Clients register
Conflict of Interest Management Policy

Finances:

Accounting and audit records
Financial statements
Assets inventory
Bank Statements and cheque records
Tax returns and assessments
VAT returns
Accounting officer's reports
IRP 5 certificates
PAYE and EMP 201 records

9. Availability of this manual

Any person may gain access to this manual on the FMI website (www.fmi.co.za) or alternatively a copy can be made available on request by any interested party. This manual is also available from the South African Human Rights Commission.

10. Other information as may be prescribed by section 51(1)(f)

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