



FINANCIAL JUNCTION
— INVESTMENTS —

**Information Manual prepared in terms
of section 51 of the Promotion of
Access to Information Act, No. 2 of
2000 (“PAIA”), as amended by the
Protection of Personal Information Act,
No. 4 of 2013 (“POPIA”)**



1. Introduction

This manual is prepared to give effect to the constitutional right of access to information. It explains how to request records held by Financial Junction Investments (Pty) Ltd. (FSP No. 34901), an authorised Financial Services Provider (“the FSP”), subject to applicable confidentiality, regulatory, and legal restrictions.

2. Contact Details of the FSP

Name of FSP: Financial Junction Investments (Pty) Ltd. FSP 34901

Head of Private Body / Information Officer: Rodney Daniel Gilchrist – Key Individual

Physical Address: 2nd Floor, Lancaster Gate, Hyde Lane Office Park, Hyde Park.

Telephone Number: 011 447-1707

Email Address: rod@fjiltd.com

Website: www.fjiltd.com

3. Section 10 Guide (how to use PAIA)

The Information Regulator has published a guide to assist individuals in understanding their rights under PAIA. It is available from:

Information Regulator (South Africa)

Woodmead North Office Park, 54 Maxwell Drive, Woodmead, Johannesburg, 2191


Tel: 010 023 5200 | Email: infoereg@justice.gov.za

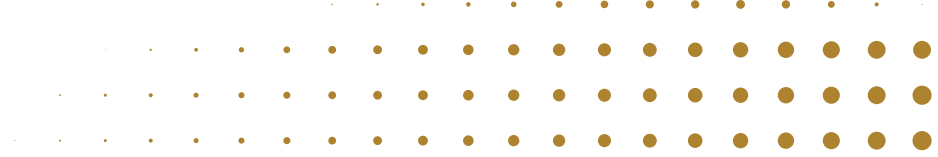
Website: <https://infoeregulator.org.za/>

Tel: 08000 17 160 / 010 023 5200

4. Records Available in terms of Other Legislation

As a licensed FSP, the following legislation governs record-keeping obligations (non-exhaustive):

- Financial Advisory and Intermediary Services Act, 37 of 2002 (FAIS)
 - General Code of Conduct for Authorised FSPs and Representatives (FAIS General Code)
 - Financial Intelligence Centre Act, 38 of 2001 (FICA)
 - Companies Act, 71 of 2008
 - Income Tax Act, 58 of 1962
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- Value Added Tax Act, 89 of 1991
 - Basic Conditions of Employment Act, 75 of 1997 (BCEA)
 - Employment Equity Act, 55 of 1998
 - Occupational Health and Safety Act, 85 of 1993 (OHSA)
 - Protection of Personal Information Act, 4 of 2013 (POPIA)

5. Categories of Records Held by the FSP

5.1 Internal Records

- Incorporation documents, share registers, resolutions
- FSP license and FSCA correspondence
- Governance/compliance policies (RMCP, Conflict of Interest, TCF, Complaints, Whistle-blowing, Information Security, POPIA, Data Breach)
- Internal audit, monitoring and compliance reports
- Employment records and HR files


5.2 Client-Related Records

- Client mandates, application forms, and contracts
- Records of Advice (ROA) and disclosure records
- Product disclosures and policy documents
- Client risk assessments and KYC documentation (FICA records)
- Transaction records and investment instructions
- Complaints register and resolution files

5.3 Service Provider / Business Partner Records

- Agreements with product providers, asset managers, UMAs, reinsurers
- Binder and outsource agreements
- Commission/revenue share statements

5.4 Records Automatically Available

- FSP license information (public register on FSCA website)
 - Marketing and promotional material
 - Information on the company website
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6. Request Procedures

Requests must be submitted on Form C, addressed to the Information Officer, include sufficient detail to identify the record and requester, and include payment of the prescribed request fee (if applicable). Access may be refused on the grounds in Chapter 4 of PAIA (e.g., third-party confidentiality, legal privilege, commercial prejudice, personal information).

7. Fees

Request and access fees apply per the Information Regulator's tariff.

8. Availability of this Manual

Available on the Financial Junction Investments (Pty) Ltd. website, at the registered office during office hours, and from the Information Regulator.

9. Information Officer

Information Officer: Rodney Daniel Gilchrist.

Approved by:
Rodney Daniel Gilchrist.
Information Officer
10/03/2026

