

GFI Securities Holdings (Pty) Ltd and subsidiaries

Information (PAIA) Manual

Prepared in accordance with section 51 of the Promotion of Access to Information Act, (PAIA), 2000 (Act no. 2 of 2000)

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1. Company Information

Name:

GFI Securities Holdings (Pty) Ltd, including subsidiaries: GFI South Africa (Pty) Ltd GFI International and Capital Market Brokers (Pty) Ltd GFI African Money Brokers (Pty) Ltd

Managing Director:

Daniel Pienaar

Information Officer:

Anthony Ankiewicz, email: anthony.ankiewicz@gfisecurities.co.za

Physical Address:

Equity House , 18 Bompas Road ; Dunkeld West; Randburg; Gauteng; South Africa; 2196

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Gauteng; South Africa

Telephone:

+2711 076 3833

Website:

www.gfigroup.com

2. Introduction

This manual is published in accordance with Section 51 of the Promotion of Access to Information Act, 2000 ("PAIA"). PAIA gives effect to the public's constitutional right to have access to information that is required for the exercise or protection of any rights.

GFI is an inter-dealer broker facilitating deals in financial instruments between regulated entities on a matched principal or name give-up basis. GFI Securities Holdings (Pty) Ltd is exempt from the FAIS Act in respect of certain clients according to FSCA FAIS Notice 84 of 2019. GFI South Africa (Pty) Ltd and GFI International and Capital Market Brokers (Pty) Ltd are members of the Johannesburg Stock Exchange.

3. Availability of the Manual

This manual can be accessed at the physical address stated above or by emailing the Information Officer at <u>anthony.ankiewicz@gfisecurities.co.za</u>

It is also available on our website www.gfigroup.com

4. The Act

The ACT grants a requester access to records of a private body, if the record is required for the exercise or protection of any rights. If a public body lodges a request, the public body must be acting in the public interest.

Requests in terms of the ACT shall be made in accordance with the prescribed procedures, at the rates provided. The forms and tariff are dealt with in paragraphs 6 and 7 of the Act.

Requesters are referred to the Guide in terms of Section 10 which has been compiled by the South African Human Rights Commission, which will contain information for the purposes of exercising Constitutional Rights. The Guide is available from the SAHRC.

The contact details of the Commission are:

Postal Address: Private Bag 2700, Houghton, 2041

Telephone Number: +27-11-877 3600

Fax Number: +27-11-403 0625

Website: www.sahrc.org.za

5. Records kept in terms of other legislation.

The Firm has records available in terms of various laws, including:

- Companies Act, 71 of 2008
- Consumer Protection Act, 68 of 2008
- Financial Intelligence Centre Act, 2017 (As amended.)
- Financial Markets Act No. 19 of 2012
- Income Tax Act, 58 of 1962
- JSE Interest Rate Derivatives Rules and Directives
- Prevention of Organised Crime Act, 121 of 1998
- Promotion of Access to Information Act, 2 of 2000
- Protection of Personal Information Act No. 4 of 2013
- Skills Development Act No. 97 of 1998
- Skills Development Levies Act No. 9 of 1999
- Unemployment Insurance Act No. 63 of 2001
- Unemployment Contributions Act No.4 of 2002
- Value Added Tax Act No. 89 of 1991

6. Form of Request

(as required in terms of Section 51(1)(e))

To facilitate the processing of your request, kindly follow the steps as set out below: a) Use the prescribed form (Form C), 'Appendix 1' in the manual. The prescribed form is also available on the website of the SAHRC at www.sahrc.org.za.

Address your request to the Information officer. c) Provide sufficient details to enable LFM to identify:

- The record(s) requested.

- The requester (and if an agent is lodging the request, proof of capacity)

- The form of access required.

- (i) The postal address or fax number of the requester in the Republic; (ii) If the requester wishes to be informed of the decision in any manner (in addition to written), the manner and particulars thereof.

- The right which the requester is seeking to exercise or protect, with an explanation of the reason the record is required to exercise or protect the right.

Appendix 1

		J752
	REPUBLIC OF SOUTH AFRICA	
	FORM C REQUEST FOR ACCESS TO RECORD OF PRIVATE BODY	,
(Section 53	3(1) of the Promotion of Access to Information Act, 2000 (Act	
	[Regulation 10]	
A. Particulars of private The Head:	body	
The Head.		
-	requesting access to the record	
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(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. De	escription of record or relevant part of the record:
2. Re	eference number, if available:
3. Ar	y further particulars of record:
E. Fe	995
E. Fe	
E. Fe (a)	A request for access to a record, other than a record containing personal information about yourself, will be
(a) (b)	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. You will be notified of the amount required to be paid as the request fee.
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(a) (b) (c) (d)	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. You will be notified of the amount required to be paid as the request fee. The fee payable for access to a record depends on the form in which access is required and the reasonable time required to search for and prepare a record.
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FORM C: REQUEST FOR ACCESS TO RECORD OF PRIVATE BODY

F. Form of access to 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 below, state your disability and indicate in which form the record is required.

Disability:

Form in which record is required:

Mark the appropriate box with an X.

NOTES:

(a) Compliance with your request for access in the specified form may depend 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.

1. If the rec	ord is in written or printed	form:				
	copy of record*		inspection of record			
	consists of visual images ludes photographs, slides,		recordings, computer-general	ed ima	ges, sketches, etc.):	
	view the images		copy of the images*		transcription of the images*	
3. If record	consists of recorded word	s or in	formation which can be repro	duced	in sound:	
	listen to the soundtrack (audio cassette)		transcription of soundtrack* (written or printed document)			
4. If record	is held on computer or in a	an elec	tronic or machine-readable for	rm:		
	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 YES NO transcription to be posted to you? Postage is payable.

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.

1. Indicate which right is to be exercised or protected:

2. Explain why the record requested is required for the exercise or protection of the aforementioned right:

h. Notice of decision regar	ding request for acce	55				
You will be notified in writing whether your request has been approved / denied. If you wish to be informed in another manner, please specify the manner and provide the necessary particulars to enable compliance with your request.						
How would you prefer to be i	nformed of the decision	regarding your request for	access to the record?			
Signed at	th	is day of	year			
		2				
		SIGNATURE OF PERSON ON WH	REQUESTER / IOSE BEHALF REQUEST IS I	MADE		

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