

## COMPLIANCE WITH THE PROTECTION OF PERSONAL INFORMATION ACT (THE POPI ACT)

SFP ensures that all personal information ("PI") is safely processed and protected from unsolicited access as required by applicable legislation. To provide you with financial advice and/or intermediary services within the requirements of the Financial Advisory and Intermediary Service (FAIS) Act and any subordinate legislation, SFP may collect, process, collate, store, analyse and disclose PI for the following purpose:

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| <ul style="list-style-type: none"> <li>• Conducting an appropriate needs analysis</li> <li>• Recommendations for potential solutions to financial planning needs</li> <li>• Allocating another intermediary in the event of resignation/retirement and/or other valid reason.</li> </ul> | <ul style="list-style-type: none"> <li>• Submission of claims;</li> <li>• Statistical analysis; and/or</li> <li>• Ongoing monitoring and reviews;</li> <li>• Obtaining quotations and supporting applications to product providers, which may include information for underwriting purposes;</li> </ul> | <ul style="list-style-type: none"> <li>• Verifying your identity</li> <li>• Fraud prevention and detection</li> <li>• Audit and record keeping</li> <li>• Any other purposes related herein (<i>the list may not be regarded as exhaustive</i>)</li> </ul> |
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As a result, the information required to fulfil the relevant advice and/or intermediary services is your PI, which includes but is not limited to your personal, family (including information pertaining to a minor, where necessary), financial, credit and health information. The data collected is also processed and stored to meet other legislative obligations such as FICA (Financial Intelligence Centre Act) and the NCA (National Credit Act) requirements, among other regulatory requirements, as and when applicable. It may become necessary to share your personal information within the group and with other service providers where required for any of the purposes listed above. This may further include, but is not limited to, administrative support staff, other intermediaries, legal consultants, financial planning or product specialists, and product providers. SFP may send your personal information to service providers outside the borders of the Republic of South Africa (*where such a country has similar protection laws or has entered into a binding agreement with SFP that ensures effective adherence to the principles for processing of information under the Protection of Personal Information Act No 4 of 2013*) for storage or further processing on SFP's behalf. You have the right to request access to your collected personal information and to request that your information be updated and/or corrected. You must inform SFP immediately of any changes; otherwise, the appropriateness of the financial advice may be compromised. Personal information will be retained for as long as necessary to meet the requirements of the FAIS and FIC Acts and other relevant legislation. We may provide you with information about financial products and other services through various channels, including text messages, emails, and newsletters. If you do not want to receive such information, please let us know in writing to opt out. For more information, please go to the SFP website: [www.sfpadvice.co.za](http://www.sfpadvice.co.za)

### Complaints Information:

Should you feel aggrieved by any advice and/or service provided by SFP and/or the representative on record, you may lodge a complaint at [complaints@succession.co.za](mailto:complaints@succession.co.za).

If the complaint has not been resolved to your satisfaction, you may refer it to the relevant Ombud.

<p><a href="mailto:POPIAComplaints@inforegulator.org.za">POPIAComplaints@inforegulator.org.za</a>: Should you feel that your personal information has been violated, you may use this e-mail address to lodge a complaint.</p>		
<p><a href="mailto:PAIAComplaints@inforegulator.org.za">PAIAComplaints@inforegulator.org.za</a> Should your PAIA request be denied or there is no response from public or private bodies for access to records you may use this email address to lodge a complaint.</p>		
<p><u>National Financial Ombud Scheme</u> <u>South Africa</u> (NFO) Tel: 0860-800-900 WA: 066 473 0157 E-mail: <a href="mailto:info@nfosa.co.za">info@nfosa.co.za</a></p>	<p><u>NFO Johannesburg</u> 110 Oxford Road, Houghton Estate, Johannesburg, Gauteng, 2198</p>	<p><u>NFO Cape Town</u> 6th Floor, Claremont Central Building, 6 Vineyard Road, Claremont, Cape Town, 7700</p>