

# FAIS DISCLOSURE NOTICE

## 1. INTRODUCTION

In terms of the General Code of Conduct of the FAIS Act, CPT Markets (Pty) Ltd ("CPT") (Registration number 2014/214730/07) as an authorised Financial Services Provider ("FSP") in terms of Section 8 of the FAIS Act, is required to disclose the information in this document to you. You are therefore requested to read through this FAIS disclosure document carefully. If there is anything in this document that you do not understand, or require clarification, please request further information from us.

## 2. AUTHORISED FINANCIAL SERVICES PROVIDER

CPT is an authorised FSP with license number 45954. A copy of our license is available on request or you can consult the FSCA website.

<b>FSP Name</b>	CPT Markets (Pty) Ltd
<b>Registration Number</b>	2014/214730/07
<b>FSP Number</b>	45954
<b>Key Individuals</b>	Sydney Maidza
<b>Group Companies</b>	Yes
<b>Postal Address</b>	6 Kikuyu Road, Sunninghill, Johannesburg, Gauteng, South Africa, 2191.
<b>Physical address</b>	6 Kikuyu Road, Sunninghill, Johannesburg, Gauteng,

	South Africa, 2191.
<b>Contact Email Address</b>	sydney.m@cptmarkets.co.za
<b>Contact Phone Number</b>	+27 (0) 011 236 8696

### 3. EXTERNAL COMPLIANCE DETAILS

<b>Name</b>	Outsourced Compliance Services (Pty) Ltd
<b>Registration Number</b>	2017/394441/07
<b>CO Number</b>	7154
<b>Postal Address</b>	Office 4, Nedbank Building, 135 Rivonia Road, Sandown, Sandton, Gauteng, South Africa, 2196
<b>Physical Address</b>	Office 4, Nedbank Building, 135 Rivonia Road, Sandown, Sandton, Gauteng, South Africa, 2196
<b>Website</b>	<a href="https://www.outsourcedcompliance.co.za">https://www.outsourcedcompliance.co.za</a>
<b>Email Address</b>	info@outsourcedcompliance.co.za

### 4. FINANCIAL SERVICES AND PRODUCTS

Category	Advice	Intermediary
<b>CATEGORY 1</b>		
<b>Shares</b>	X	X
<b>Derivative Instruments</b>	X	X
<b>Long term Deposits</b>	X	X

<b>Short term deposits</b>	X	X
<b>Crypto Assets</b>		X

## 5. INDEMNITY COVER

CPT Markets (Pty) Ltd holds Professional Indemnity and Fidelity Cover of more than R1 million.

## 6. TREATING CUSTOMERS FAIRLY

CPT Markets is committed to the Treating Customers Fairly (TCF) programme which has been implemented by the FSCA and consists of a principle-based approach. As a part of our overall approach we are fully committed to treating our clients fairly and as such we endeavour to meet their expectations of high-quality service.

Our TCF policy is available on request.

## 7. CONFLICT OF INTEREST MANAGEMENT POLICY

CPT has adopted and implemented a conflict of interest management policy to ensure that the quality of our financial services is not significantly compromised by conflict of interest situations that may arise in the normal course of carrying out our business. The conflict of interest management policy is published on the CPT website or can be obtained from on request to **sydney.m@cptmarkets.com**.

## 8. COMPLAINTS

In terms of the Act, CPT has established a formal Complaints Policy & Procedure which is available on request or on the CPT website. Should you wish to pursue a complaint against CPT, you should address the complaint in writing to **complaints@cptmarkets.com**. If you cannot settle your complaint with us within

six weeks, you are entitled to refer it to the office of the FAIS Ombud, at **info@faisombud.co.za** or telephone number 0860 324 766. The Ombud has been created to provide you with a redress mechanism for any inappropriate financial advice that you feel may have been given to you by an FSP.

	<b>FAIS OMBUD</b>
<b>Physical Address:</b>	Sussex Office Park Ground Floor, Block B 473 Lynnwood Road Cnr Lynnwood Road and Sussex Avenue Pretoria 0081
<b>Postal Address:</b>	PO Box 74571, Lynwood Ridge, 0040
<b>Telephone:</b>	012 762 5000/ 012 470 9080
<b>Email:</b>	info@faisombud.co.za

## **9. FINANCIAL INTELLIGENCE CENTRE ACT (FICA)**

As an accountable institution, as defined by FICA, we are required in terms of our Risk Management Compliance Program (RMCP) and Client Due Diligence (CDD) process to identify our prospective clients, verify the given information and keep records of the verified documents.

Our RMCP is available on request

## **10. PRODUCT SUPPLIER / LIQUIDITY PROVIDER**

CPT Markets (Pty) Ltd's counterparty to client transactions is:

**a. CPT Markets Limited** (CPT International), incorporated and registered in Belize with company number IBC No. 155,553 and registered office at 2118 Guava Street, Belama Phase 1, P.O. Box 1920, Belize City, Belize, operating under Belizean regulatory oversight.

## **RISK DISCLOSURE STATEMENT**

Buying and selling of financial products entails risk, please ensure that you are always appropriately advised and aware of all risks involved. The risks inherent in geared investments are greater than the risks in investments with a moderate to conservative risk profile. Such higher risk investments may be subject to sudden and large fluctuations in value.

Please consult our Risk Disclosure Statement which details some of the more general risks and characteristics prevalent in a trading account. Prior to selecting a financial product or portfolio in which to invest, it is recommended that investors seek independent, specialised financial, legal and tax advice in this regard.

## **11. OTHER MATTERS OF IMPORTANCE**

a. CPT Markets (Pty) Ltd (South Africa) is 100% owned by CPT Group Holding Ltd, a company registered and incorporated in the Cayman Islands.

- b. In terms of the Financial Intelligence Centre Act, 2001 a Financial Service Provider is obliged to report any suspicious and unusual transactions that may facilitate money laundering ,terrorist and proliferation financing.
- c. It is important that you are absolutely sure that the product and transactions meet your needs and that you feel you have all the information you need before making a decision.
- d. Waiver of rights: You are hereby advised that no representatives of the provider or any other person may ask you, or offer any inducement to you, to waive any right or benefit conferred on you by or in terms of any provision of the FAIS Act. Note further that no representative has a right to enter into any contractual obligation on the client's behalf, or to restructure portfolios without the client's prior written consent.
- e. The client authorizes the FSP to access any relevant information required pertaining to the client to enable the FSP to adequately provide the necessary financial service. Any client information obtained shall remain confidential and shall not be disclosed to third parties unless otherwise required by a legal obligation or with your prior consent.

## **12. CLIENT UNDERSTANDING & CONFIRMATION**

- a. The client agrees to provide the Financial Service Provider with the necessary information and written consent required to effect the client's mandate.

- b. The client understands that they have an obligation to provide the FSP with accurate information, material facts, or statements relating to the completion of any transaction and that they assume the sole responsibility for any damage incurred as a result of their failure to accurately disclose information.
- c. It shall be the sole responsibility of the client to decide whether a product or financial decision is appropriate for their needs, objectives, and circumstances.
- d. The Client confirms to have read this document and to having received a copy of this notice.