

**STATUTORY DISCLOSURE**

Statutory Disclosures in terms of the Financial Advisory and Intermediary Services Act No. 37 of 2002 (FAIS)  
Please note the following:

- This notice does not form part of any financial needs analysis conducted by any of our representatives;
- SBG Securities (Pty) Ltd must on request supply clients with a copy or written or printed record of any transaction requirement within a reasonable time.

**A. Details of the Financial Services Provider**

Name: Online Share Trading, a division of SBG Securities (Pty) Ltd (SBGS)

Physical Address: 4<sup>th</sup> Floor, 3 Simmonds Street, Johannesburg, 2001

Postal Address: PO Box 61309, Marshalltown, 2107

Telephone Number: 0860 121 161

Fax Number: 011 631 0649

FAIS Compliance Officer: William Milton Kotze

FAIS Compliance Officer Contact Details: 011 636 4026 or [Milton.Kotze@standardbank.co.za](mailto:Milton.Kotze@standardbank.co.za)

**Legal Status**

- A private company established in 1972.
- Company Registration Number 1972/008305/07
- An authorised financial services provider, license number 26691
- A wholly owned subsidiary of Standard Bank Group Limited
- An authorised user of the JSE Limited.

**Professional Indemnity Insurance:** We hold professional indemnity insurance as part of the Standard Bank Group Ltd.

**Complaints Management:**

All FAIS customer complaints must be directed to: Milton Kotze on Telephone number 011 636 4026 or E-mail to [Milton.Kotze@standardbank.co.za](mailto:Milton.Kotze@standardbank.co.za)

In terms of FAIS, should you have any complaint that is the result of perceived non-compliance by SBGS with FAIS, you may lodge it with SBGS. The relevant person in SBGS must then notify you within three weeks after you lodged the complaint that it has been received and that it is being addressed. SBGS has six weeks to provide you with a proposed resolution of the complaint. If you remain unsatisfied with the outcome you have six months to escalate the matter to the FAIS ombud (see contact details below).

**Product Suppliers:** From time to time, SBGS market and sell financial products of external product suppliers. A list is available on request.

**Incentives:** We motivate our staff on an ongoing basis through a variety of performance-based incentives.

**Undertaking:** As an authorised financial services provider, we will always strive to serve and protect your best interests. This includes ensuring that our staff meets the requirements stipulated by law, including the FAIS Act, to assist you with your financial requirements in a professional manner. Although our representatives may change from

time to time, we will always ensure there is a qualified representative available to serve your needs. We will not induce you to waive any right or benefit conferred on you by the FAIS General Code of Conduct.

## B. Details of FAIS Ombudsman

Name: Ms. Noluntu Bam  
 Physical Address: Eastwood Office Park, Celtis House, Ground Floor, Lynnwood Ridge, 0081.  
 Postal Address: PO Box 74571, Lynnwood Ridge, 0040  
 Telephone Number: 012 470 9080/99 or 0860 3247 66 (sharecall)  
 Fax Number: 012 348 3447

## C. Other matters of Importance

- Do not sign any blank or partially completed documentation of any nature;
- Complete all documentation in ink;
- Retain all documents handed to you;
- Record all verbal disclosures made to you by a representative in writing;
- You are under no obligation to accept any advice or disclosures made to you by any representative;
- Please ensure that you are satisfied with the financial advice given to you by a representative and that such financial advice is suitable to your financial needs before you enter into a mandate with us; and
- Please be aware that there is a risk of loss on capital amount(s) invested by you due to market fluctuations. Note that past investment performance does not reflect future performance and no performance is expressly or impliedly guaranteed.
- There may be various tax implications to consider when investing in financial products and you must be aware of these implications before investing. We do not accept any liability for the tax treatment by any court or by any authorities in any jurisdiction in relation to any transaction based on information or advice provided by SBGS. It is strongly recommended that individual tax advice be sought before entering into any transaction.
- our representatives get ongoing training to meet the highest professional standards and at times may be acting under supervision

## D. Financial services SBGS is authorised to provide in terms of FAIS

### CATEGORY I – Advice and Intermediary

Category Description	Advice	Intermediary
Securities and Instruments :Shares	X	X
Securities and Instruments : Money market instruments	X	X
Securities and Instruments : Debentures and securitised debt	X	X
Securities and Instruments : Warrants, certificates and other instruments	X	X
Securities and Instruments : Bonds	X	X
Securities and Instruments : Derivative instruments	X	X
Participatory interests in Collective Investment Schemes	X	X
Foreign currency denominated investment instruments	X	X
Deposits Defined in the Banks Act - exceeding 12 months	X	X
Deposits defined in the Banks act - 12 months or less	X	X

### CATEGORY II - Discretionary FSP

Category Description	Discretionary
Securities and Instruments :Shares	X
Securities and Instruments : Money market instruments	X
Securities and Instruments : Debentures and securitised debt	X
Securities and Instruments : Warrants, certificates and other instruments	X
Securities and Instruments : Bonds	X
Securities and Instruments : Derivative instruments	X
Participatory interests in Collective Investment Schemes	X