



Statutory Disclosure

(In terms of the Financial Advisory and Intermediary Services Act No. 37 of 2002).

As a valued client of Capta FX (Pty) Ltd, you have the right to the information contained in this notice:

Name: Capta FX (Pty) Ltd
Registration Number: 2013/114672/07
FSP License Number: 48120

Physical Address: Pin Oak House, 2nd Floor,
Bally Oaks Office Park
Ballyclare Drive,
Bryanston, 2191

Postal Address: Postnet Suite 800
Private Bag X43
Sunninghill, 2157

Telephone Number: +27 (0)11 568 4446
Email: info@captafx.co.za
Contact Person: Christopher Van Der Berg
Cell: +27 (0) 82 459 8077

Compliance Officer: Outsourced Compliance Services (Pty) Ltd
Johan Van Zyl
johan@outsourcedcompliance.co.za

Legal Status: A Propriety Limited established in 2013

An authorised Financial Services provider in terms of the FAIS Act.

Capta FX (Pty) Ltd holds professional indemnity insurance and Fidelity cover.

Capta FX (Pty) Ltd is duly authorised to render financial services as defined in terms of the FAIS Act in respect of the following financial products:

Category 1 (Advice and Intermediary)

- Long Term insurance: Categories A, B1, B1-A, B2, B2-A, & C
- Retail Pension Benefits
- Short Term Insurance Personal and Commercial Lines
- Pension Fund Benefits
- Securities & Instruments: Shares (intermediary only), Money Market Instruments (intermediary only), Bonds and Derivative Instruments
- Participatory Interest in Collective Investment Schemes
- Participatory Interest in a hedge fund
- Long- and Short-Term Deposits
- Structured Deposits
- Crypto Assets

No conditions and restrictions apply to the above-mentioned scope of authorisation nor does Capta FX (Pty) Ltd hold any specific exemption granted by the Commissioner of the Financial Sector Conduct Authority.

Capta FX (Pty) Ltd Authorised Representative Disclosure

In terms of the Financial Advisory and Intermediary Services Act No 37 of 2002, Capta FX (Pty) Ltd has the following appointed representatives.

The below representative's records of qualifications and experience are available on request:

- 1) Farrell Mitchell – 1.1, 1.2, 1.3, 1.20,1.21, 1.22, 1.23, 1.4, 1.5, 1.6, 1.7, 1.8, 1.9, 1.12, 1.13, 1.14, 1.17, 1.18,1.27
- 2) Christopher van der Berg – 1.1, 1.2, 1.3, 1.20, 1.4, 1.5, 1.14, 1.17, 1.18,1.27
- 3) Caitlin Wood (under supervision) – 1.9, 1.14, 1.17, 1.18.
- 4) Zeliëka Wainwright – 1.13, 1.17, 1.18, 1.27 - under supervision
- 5) **Juristic Representative:** Dancha Securities (Pty) Ltd - 1.1, 1.2, 1.3, 1.20,1.21, 1.22, 1.23 1.4, 1.5, 1.6, 1.7, 1.8, 1.9, 1.12, 1.13, 1.14, 1.17, 1.18,1.27
- 6) Samantha Muller (under supervision): - 1.1, 1.3, 1.20, 1.21, 1.22, 1.23, 1.24, 1.26, 1.27, 1.4, 1.5, 1.7, 1.8, 1.9, 1.12, 1.13, 1.14, 1.17, 1.18.

Section B, Details of the FAIS Ombudsman

Physical Address: Kasteel Park Office Park, Orange Building, 2nd Floor
546 Jochemus Street, Erasmus kloof, Pretoria, 0048
P.O. Box 74571
Lynnwood Ridge, 0040

Postal: 086 066 3247

Sharecall: +27 (0) 12 762 5000

Telephone Number: info@faisombud.co.za

Email: info@faisombud.co.za

The Ombudsman should be contacted in the event that a complaint cannot be settled with Capta FX (Pty) Ltd.

Section C, Other Matters of Interest

You are under no obligation to accept advice or disclosures made to you by a Capta FX (Pty) Ltd representative.

The Capta FX (Pty) Ltd representatives are not allowed to request or induce you to waive any rights or benefits conferred to you in terms of the provisions of the FAIS Act's General Code of Conduct. Capta FX (Pty) Ltd accepts responsibility for the activities of the representatives insofar as it is performed within the scope of the contractual agreement between Capta FX (Pty) Ltd and the Representative.

Capta FX (Pty) Ltd has adopted and implemented a conflict of interest management policy that complies with the provisions of the FAIS Act. This is published on the following website www.captafx.com or is available on request by emailing info@captafx.co.za

Capta FX (Pty) Ltd forms part of a group of companies in which the directors hold a shared interest. In certain instances, fees may be earned as a result of these relationships. Please refer to our fee structure specific to this agreement as well as our Conflict of Interest Policy for further details in this regard.

In terms of FICA, Capta FX (Pty) Ltd is an accountable institution. We are required to identify our prospective clients, verify the given information and keep records of the verifying documents. We are also obliged to report suspicious and usual transactions that may facilitate money laundering to the relevant authorities.

The Client acknowledges and agrees that the Intermediary is not a registered tax practitioner and does not provide tax, accounting, or legal advice. All tax-related obligations, including but not limited to the calculation, submission, declaration, and payment of any taxes, levies, duties, or filings with any local or foreign tax authority arising from or related to any Transaction, investment, or account, remain the sole responsibility of the Client. The Intermediary shall not be liable for any tax consequences, penalties, interest, or losses arising from the Client's tax affairs.

Section D, General Terms and Conditions

Capta FX (Pty) Ltd is mandated by a number of companies and other Authorised Financial Services providers to market their products. A list of these are available on request. Full particular details of the relevant product supplier will be provided in writing within 30 days of entering into an agreement with Capta FX (Pty) Ltd.

Capta FX (Pty) Ltd during the preceding 12 month period received more than 30% of its remuneration from Investec Limited.

Capta FX (Pty) Ltd does not directly or indirectly hold more than 10% of any other product supplier's shares or equivalent financial interest.

A copy of Capta FX (Pty) Ltd FSP license is available on request. There may be limitations on the appropriateness of the advice provided by Capta FX (Pty) Ltd

The General Code of Conduct stipulates that no financial services provider may request or induce in any manner a client to waive any right or benefit conferred on the client by/or in terms of any provisions of the said Code, or recognise, accept or act on any such waiver by a client. Any such waiver is null and void. I must take particular care in considering whether the advice is appropriate considering my objectives, financial situation and specific needs.