



**STATUTORY FAIS DISCLOSURE**



## STATUTORY FAIS DISCLOSURE

Name:	XM ZA (Pty) Ltd
Address:	Office 1101D, 11th Floor, 4 Bree street, Portside Building, Cape Town, 8000, South Africa
Website:	<a href="http://www.xmza.com">www.xmza.com</a>
License number:	FSP49976
Email:	support@xmza.com

### 1. Company's Legal Status

XM ZA (Pty) Ltd (the "FSP") is a Private Company registered in the Republic of South Africa under the registration number 2018/527968/07. As a licensed Financial Services Provider in terms of the FAIS, the FSP accepts responsibility for the actions of its representatives, acting within their mandates, in the rendering of financial services as defined by the Financial Advisory and Intermediary Services Act, 37 of 2002 ("FAIS Act") as amended or may be amended from time to time. Its representatives either meet the fit and proper requirements as prescribed by the FAIS Act or operate under appropriate supervisory procedures in accordance with the FAIS Act and are qualified to assist you in a professional manner. The FSP acts as an intermediary / direct marketer in term of the FAIS Act, rendering only an intermediary service in relation to derivative products (CFDs) offered by XM Global Limited (i.e., the product supplier (issuer and seller)).

### 2. Key Individuals

Name:	Authorised products
Mr. Bongani Goodenough	<i>As per table 1 below</i>

The FSP confirms that its Key Individual(s) and Representative(s) are mandated and entitled to render only intermediary services to you in terms of the FAIS Act. The Key Individual(s) and Representatives are full-time employees of the FSP.

### 3. Complaint Handling and Compliance Queries

Please refer to our Complaints Handling Procedures on how to send us your complaint. Should your complaint not be adequately resolved or if you have a compliance related query, please do not hesitate to contact our Compliance Officer:

#### Compliance Officer Information

Name:	Mr. Johan Van Zyl
FAIS Registration Number:	CO 6443
Company:	Outsourced Compliance Services (Pty) Ltd
Address:	9th floor, Atrium on 5th, 5th Street, Sandton, Johannesburg, 2196
Telephone:	010 003 0730
Email Address:	johan@outsourcedcompliance.co.za

#### XMZA (Pty) Ltd

Regulated by the Financial Sector Conduct Authority (FSCA)

FSP No.: FSP49976 | Email: [support@xmza.com](mailto:support@xmza.com)

Address: Office 1101D, 11th Floor, 4 Bree Street, Portside Building, Cape Town, 8000, South Africa

XM ZA (Pty) Ltd acts solely as a direct marketer/intermediary in terms of the FAIS Act, rendering only an intermediary service (no market making) in relation to derivative products (CFDs) offered by XM Global Limited.



#### 4. FAIS Ombud

Please note that prior to submitting a complaint with the FAIS Ombud (details below), please consider contacting us at [support@xmza.com](mailto:support@xmza.com) or contacting our Compliance Officer. The FSP welcomes any queries or constructive feedback regarding any dissatisfaction you may have and will gladly assist and aim to resolving it to your satisfaction.

Should confirmation be provided by the FSP that we are unable to resolve your complaint, you may pursue the matter further with the Ombud.

FAIS Ombud Details	
Physical Address:	Menlyn Central Office Building, 125 Dallas Avenue, Waterkloof Glen, Pretoria 0010
Postal Address:	P O Box 41, Menlyn Park, 0063
Telephone:	012 762 5000 / 086 066 3247
Email Address:	<a href="mailto:info@faisombud.co.za">info@faisombud.co.za</a>

Please note that, if you wish to submit a complaint to the FAIS Ombud against the FSP or our representative(s), you will need to show that you have already attempted to resolve the matter directly with the FSP first.

#### 5. Other Important Matters

- a) In terms of the Financial Intelligence Centre Act, 2001, the FSP is obliged to report any suspicious and unusual transactions that may facilitate money laundering.
- b) It is important that you are absolutely sure that the product of the product supplier and transactions meet your needs and that you feel you have all the information you need before making an decision.
- c) The FSP acts solely as an intermediary/direct marketer in terms of the FAIS Act and Section 15 of the FAIS General Code of Conduct, rendering only an intermediary service in relation to derivative products (CFDs) offered by XM Global Limited. The FSP does NOT make any recommendations, it does not provide guidance, nor does I make any proposals related to financial products to users. The FSP does not perform any analyses of users' financial objectives nor investment risk profiles. Users must ensure that they are comfortable with the trading decisions they take and must contact their FAIS approved financial advisor should they require any financial advice.
- d) The FSP does not conduct any market making nor will it be the counterparty to your trades.
- e) The FSP has a suitable Professional Indemnity in place in accordance with the FAIS Act.
- f) Waiver of rights: Users are hereby advised that no representatives of the provider or any other person may ask you, nor in any way induce you, to waive any right or benefit conferred on you by or in terms of any provision of the FAIS Act.

#### 6. Financial Services and Products

As an Authorised Financial Services Provider, the FSP has a Category I licensed issued by the Financial Sector Conduct Authority ("FSCA") in terms of FAIS, to provide intermediary services in respect of the following financial products.

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Table 1

	Financial Product	Advice	Intermediary Service	Supervision
	Category I Financial Services			
1.13	Securities and Instruments: Derivative Instruments excluding warrants	x	✓	x

## 7. Conflicts of Interest

In accordance with the FSP's Conflicts of Interest policy, the FSP places high priority on its clients' best interests. Conflicts of interests could undermine the integrity and professionalism of the FSP and its employees and any potential or recognized instance must be identified as early as possible. Potential conflicts of interest are inherent in any business and therefore, the aim of the FSP is to minimize and/or prevent, if possible, such risk. If conflicts of interest situations cannot be avoided, the FSP will manage these conflicts equitably and in the client's best interest as an integral part of the FSP's ethos and culture. The FSP maintains an active Conflicts of Interest policy which is available on its website, free of charge.

## 8. Client Understanding and Confirmation

I confirm I have read this document and can download a copy of this notice for my records.

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