



## DISCLOSURE NOTICE IN TERMS OF FINANCIAL ADVISORY & INTERMEDIARY SERVICES ACT NO. 37 2002 "FAIS"

*As a prospective client you have the right to information relating to our professional services as required in terms of the FAIS Act. Please note that this is an important document and is to be read carefully.*

FxPro Financial Services Limited is authorised and regulated by the Financial Services Board ('FSB') (authorisation no. 45052) and authorised by the Cyprus Securities and Exchange Commission ('CySEC') (licence no. 078/07).

FxPro Financial Services Limited provides execution services and enters into principal to principal transactions with its clients on FxPro Financial Services Limited's prices; these transactions are not traded on an exchange.

### Financial Services and Products

FxPro Financial Services Limited is authorised to provide intermediary services in respect of the following financial product types:

- 1.8 Securities and Instruments: Shares
- 1.13 Securities and Instruments: Derivative Instruments

We do not provide advice in respect of any financial product as defined in the FAIS Act.

### Authorised Representatives

FxPro Financial Services Limited has duly authorised the individuals below to render intermediary services as defined in terms of FAIS in respect of the products we are licensed for:

#### Key Individuals

Charalambos Psimolophitis (also licensed as a Representative)  
Yiannos Xenophontos

FxPro Financial Services Limited has the necessary controls and procedures in place as to ensure that the Key Individuals and Representative comply with the prescribed FAIS Fit and Proper Requirements (includes experience, qualifications, regulatory examinations and honesty and integrity requirements).

FxPro Financial Services Limited accepts legal responsibility for those activities that the representative performed within the scope of implementing his/her employment contract or mandate.



We confirm that none of our representatives are rendering services under supervision as defined in the Determination of Fit & Proper requirements.

### Fees and Charges

Our commissions, fees and charges are clearly displayed on our website. Any additional costs that may be applicable will be disclosed to you in advance.

### Compliance with Financial Advisory and Intermediary Services Act "FAIS"

The compliance of FxPro Financial Services Limited with the FAIS Act is monitored by Anél Naudé of Compli-Serve SA (Pty) Limited, a licensed Compliance Practice, CO 194 who is contactable on 0861 273 783 or email [anel@compliserve.co.za](mailto:anel@compliserve.co.za).

### Confidentiality

Where applicable FxPro Financial Services Limited will keep all our clients' information confidential and such information will not be made available to third parties by FxPro Financial Services Limited unless so authorised by the client beforehand or if FxPro Financial Services Limited is required to divulge such information in the public interest or under any law.

### Conflicts of Interest

In accordance with FxPro Financial Services Limited conflicts management policy, FxPro Financial Services Limited places a high priority on its clients' interests. As conflicts of interest affecting clients could undermine the integrity and professionalism of our business, any instances must be identified as early as possible. If conflict situations cannot be avoided, they must be managed equitably and in the client's interest. Detecting potential or recognised conflicts of interest that could compromise the interest of its clients and managing and limiting the impact of conflicts of interest therefore constitute an integral part of FxPro Financial Services Limited's duties and obligations.

Potential conflicts of interest are inherent in any business and therefore it is not the aim of FxPro Financial Services Limited to avoid all conflicts but rather to take steps to identify and manage conflicts of interest to ensure that our clients are not unduly prejudiced.

FxPro Financial Services Limited maintains an active Conflicts of Interest Management Policy including highlights of current conflicts which can be obtained at <http://www.fxpro.co.uk/trading/products/legal>.



### Complaints

In the event that you are dissatisfied with any aspect of our service you may contact our offices at the address shown at the head of this letter.

Should you wish to pursue a complaint against an authorised representative of FxPro Financial Services Limited, you should submit your complaint in writing to [compliance@fxpro.com](mailto:compliance@fxpro.com).

If you cannot settle your complaint with us, you are entitled to refer it to the FAIS Ombud. The Ombud has been created to provide you with a redress mechanism for any inappropriate financial advice that may have been given to you.

Contact particulars of the Ombud: PO Box 74571, Lynnwood Ridge 0040, Tel 012 470 9080  
Fax 012 348 3447, [info@faisombud.co.za](mailto:info@faisombud.co.za), [www.faisombud.co.za](http://www.faisombud.co.za)

### Professional Indemnity-, Fidelity Insurance or Guarantees

FxPro Financial Services Limited holds professional indemnity insurance

### Financial Intelligence Centre Act (FICA) -

Please note that in terms of the Financial Intelligence Centre Act (FICA), FxPro Financial Services Limited is obliged to report suspicious and unusual transactions that may facilitate money laundering to the authorities.

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