



**Statutory disclosure in terms of the  
Financial Advisory and Intermediary Services Act, 2002 (FAIS Act)**

This document contains important disclosure and declaration information regarding SBG Securities Pty Ltd (We, our, us). You have a right to the information in this notice. Please read this document carefully and ensure that you understand its contents.

<b>Your Financial Services Provider</b>	
Name	SBG Securities Pty Ltd (SBG SEC)
Trading Name	Online Share Trading
Business area	Global Markets - Wholesale
FSCA licence	26691
Street address	30 Baker Street, Rosebank
Postal address	30 Baker Street, Rosebank
Telephone number	011 415 6555 / 0860 121 555
<b>Legal status of SBG SEC</b>	
<ul style="list-style-type: none"><li>• Our Company Registration Number 1972/008305/07</li><li>• An authorised user of the JSE Limited and A2X Limited in terms of the Financial Markets Act, 2012.</li><li>• FSP Type: Private Company</li><li>• A wholly owned subsidiary of The Standard Bank Group Limited.</li><li>• We have shareholding in other companies, details of which can be supplied on request or can be viewed at <a href="http://www.standardbank.co.za">www.standardbank.co.za</a>.</li></ul>	
<b>Professional indemnity insurance</b>	
We hold professional indemnity and fidelity insurance.	
<b>Undertaking</b>	
<ul style="list-style-type: none"><li>• As a licensed financial services provider, we will always try to serve and protect your best interests. This includes making sure that our staff meets the requirements of all law, including the FAIS Act, to help you in a professional way.</li></ul>	
<b>Complaints</b>	
<ul style="list-style-type: none"><li>• If you have a complaint, please contact our Online Share Trading Support Team on 011 415 6555 / 0860 121 555 where your complaint will be recorded and acknowledged.</li><li>• You may also send your complaint to: <a href="mailto:securities@standardbank.co.za">securities@standardbank.co.za</a></li><li>• A copy of our complaints handling process is available on request or can be viewed on: <a href="http://www.standardbank.co.za">www.standardbank.co.za</a>.</li></ul>	



### FAIS Ombud

If you believe that your complaint has not been resolved satisfactorily by us within 6 weeks of lodging same, you may request assistance from the Ombud. You need to refer the dispute to the Ombud within 6 months of the issue remaining unresolved.

#### The details of the Ombud:

Street address: 125 Dallas Avenue Menlyn Central, Waterkloof Glen, Pretoria, 0010

Postal address: P O Box 41 Menlyn Park, 0063

Contact details: Telephone: +27 12 762 5000

Sharecall: 086 066 3274

E-mail Address: [info@faisombud.co.za](mailto:info@faisombud.co.za)

Website: [www.faisombud.co.za](http://www.faisombud.co.za)

### Conflicts of interest

The Standard Bank of South Africa Limited and Liberty Holdings Limited are subsidiaries of Standard Bank Group Limited (**SBG**). Liberty Holdings Limited comprises of various subsidiaries, including Liberty Group Limited and Stanlib Limited [of which Stanlib Asset Management (Pty) Limited, Stanlib Collective Investments RF (Pty) Limited and Stanlib Wealth Management (Pty) Limited are subsidiaries].

The profits from the distribution of products of Liberty Group Limited and Stanlib Limited are shared with SBG, through preference shares in Liberty Group Limited.

We subscribe to the Group FAIS Conflict of Interest Management Policy. A copy of the Group FAIS Conflicts of Interest Management Policy can be found by clicking on the following link:

<https://www.standardbank.co.za/southafrica/personal/about-us/regulatory/fais>

Our employees are salaried and may also be motivated through a variety of performance-based incentives.

### FAIS Licensed Compliance Officer

Name: Sue Chetti

Title: FAIS Compliance Officer

Department: Regulatory Services, Group Compliance

Telephone: (011) 547 1183

Email: [GroupFAISComplianceofficer@standardbank.co.za](mailto:GroupFAISComplianceofficer@standardbank.co.za)

### Products and services

SBG SEC is licensed to provide financial services for the Category I products and services sub-categories listed in the table below and on behalf of the product suppliers listed (refer to Product Supplier list). SBG SEC has no limitations or restrictions on its FAIS licence. A copy of the general conditions applicable to SBG SEC licence can be made available on request.



We accept full responsibility for our representatives that are mandated to render financial services on the classes of business and sub-categories of financial products that we are licensed for. The representative is authorised to provide financial services for the Classes of business and sub-categories indicated below.

SBG Sec is authorised to provide advice and intermediary services on the below classes of business and sub-categories.

<b>Class of Business (COB)</b>	<b>Category 1 Licence</b>	
COB 7	1.8	Shares
COB 7	1.9	Money market instruments
COB 7	1.10	Debentures and securitised debt
COB 7	1.11	Warrants, certificates & other instruments
COB 7	1.12	Bonds
COB 7	1.13	Derivative instruments
COB 7	1.14	Participatory Interests in one or more collective Investment schemes
COB 5	1.17	Long-term deposits
COB 5	1.18	Short-term Deposits

**Product Suppliers (list all the products supplier's details as per the example below):**

From time to time, SBG Securities market and sell financial products of external product suppliers. The Standard Bank of South Africa Limited is currently a product supplier to SBG Securities.

Name of Product Supplier:	The Standard Bank of South Africa Limited
FSP Number	11287
Physical Address:	30 Baker Street, Rosebank
Postal address:	30 Baker Street, Rosebank
Contact details:	011 415 6555 / 0860 121 555
FAIS Compliance Officer:	Sue Chetti
FAIS Compliance Officer Contact details:	(011)5471183 <a href="mailto:GroupFAISComplianceofficer@standardbank.co.za">GroupFAISComplianceofficer@standardbank.co.za</a>
List products that are provided:	1.Equities 2.Spot FX



	3. Contracts for difference 4. Equity Derivatives
Shareholding:	We hold no shares in this product supplier
Total remuneration and/or Commission	We earn more than 30% of the remuneration/commission from this product supplier

### General Terms and Disclaimer

- The value of investments may fluctuate, and past performance is not necessarily a guide to future performance. As a result, capital cannot be guaranteed.
- The holding of offshore investments may be subject to current South African or applicable jurisdictional laws.
- No undertaking; warranties or guarantees have been provided by our representatives in respect of the product/s chosen by you.
- While we provide information on tax-related matters, we do not give tax advice. Please consult your tax adviser before entering into any transaction.
- All calls are recorded and can be made available upon request.

### 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.
- 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.
- 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 SBG Sec. 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.
- We accept full responsibility for the actions of our representatives when they render financial services to you in respect of the sub-categories of financial products set out below. Some representatives may be working under supervision and an exemption. The affected representatives will provide you with their specific disclosures, in this regard, during their interaction with you.

### Declaration, Confirmation and Acknowledgement

**SBG SEC confirms that**

- The disclosure document and the material terms and conditions of the product was explained to the client.
- All calls are recorded and can be made available if requested.

**You declare that**

- The product was executed on your instruction; or
- Your choice was made based on the product's factual information provided, including the features, benefits and pricing options, which enabled you to make an informed decision about the product/s suitable to your needs; or
- A financial needs analysis was conducted that summarised your needs. The product selected was based on the advice you received, which is documented in a record of advice and you received a copy thereof.

**You confirm that:**

- You were not asked, nor forced to waive any rights in terms of the FAIS Act.
- All documents were completed before you signed them.
- You received a copy of this document and have read and understand the contents thereof.