

Financial Advisory and Intermediary Services Disclosure

INTRODUCTION

Disclosure Notice in terms of Financial Advisory and Intermediary Services Act No 37 2002 "FAIS" OF Ava Capital Markets (Pty) Ltd relating to the provision of financial services

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 YOU WILL BE ASKED TO ACKNOWLEDGE RECEIPT OF THIS DOCUMENT at the account opening stage THEREBY ACKNOWLEDGING AND AGREEING TO BE BOUND BY THE CONTENTS HEREIN AND WE THEREFORE REQUIRE THAT YOU READ IT CAREFULLY.

Ava Capital Markets (Pty) Ltd is authorized and regulated by the Financial Services Board in South Africa, FSP #45987.

Ava Capital Markets (Pty) Ltd (AvaTrade) provides execution only services and enters into principal to principal transactions with its clients, on prices shown on the AvaTrade trading platform. These transactions are not traded on any exchange.

Authorised in respect of intermediary services for the following products

Category description	Intermediary	Advice
Category I		
Derivative instruments	Yes	No
Forex investment	Yes	No

AUTHORISED REPRESENTATIVES

Jeffrey Levine is the Key Individual and representative of AvaTrade, has been duly authorised to render intermediary services as defined in terms of the FAIS Act in respect of the products we are licenced for and meet the prescribed fit and proper requirements. AvaTrade accepts legal responsibility for those activities that the representative performed within the scope of implementing his employment contract/mandate.

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FEES AND CHARGES

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

Compliance with Financial Advisory and Intermediary Services Act “FAIS” Compliance with the FAIS Act is monitored by Moonstone Compliance (Pty) Ltd. The registered compliance officer is Salomy Schoeman, who is contactable on 083 655 0515 or sschoeman@moonstonecompliance.co.za.

CONFIDENTIALITY

Potential conflicts of interest are inherent in any business and therefore it is not the aim of the FSP 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.

AvaTrade has a conflict of Interest policy which can be viewed on the website.

COMPLAINTS

If you are dissatisfied with any aspect of our service, you may contact complaints@avatrade.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.

You may contact the Ombud with the following details:

PO Box 74571, Lynnwood Ridge 0040, Pretoria, South Africa.

Tel 012 470 9080

Fax 012 348 3447

info@faisombud.co.za

www.faisombud.co.za

GENERAL

AvaTrade holds professional indemnity insurance.