



THE DEALING ROOM

STATUTORY

SFX DEALING ROOM

Registration No 2013/168703/07

Business Details

FSP License Number:	44909
Address (Postal & Physical):	3 RD FLOOR PROTEA PLACE PROTEA ROAD CLAREMONT 7800
Contact Person:	Fairuz Coe
Telephone Number:	021 823 6000
Fax Number:	086 614 0542
Cellular phone number:	083 443 2984
E-mail Address:	fairuz@thedealingroom.co.za
Financial Advisor / Key Individual	Lee Savage
Cellular phone number	083 773 8087
E-mail Address	lee@thedealingroom.co.za

Legal and Contractual Status

The Financial Service Provider is a **Private Company** and is a duly authorized intermediary of the following product suppliers:

1)	Investec Limited	Tel: 011 286 4508
2)	Nedbank Limited	Tel: 021 413 9300
3)	Bidvest Bank Limited	Tel: 021 431 7700
4)		

No conditions or restrictions have been imposed by any of the above product suppliers.

The financial advisor is an authorized representative of SFX Dealing Room and has been appointed in terms of a written agreement.

SFX Dealing Room accepts responsibility for its own actions and for the actions of the financial advisor that may be performed by him or her acting within the course and scope of his or her employ with the provider.

Registration Number: 2013/168703/07

Address: POSTNET Suite 19, Private Bag X1005, Claremont, 7735

Telephone: 021 823 6000

Directors: Sean Maloney, Lee Savage, Michael Roffey & Mark Collie



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Financial Services for which Authorised

In terms of the license issued to **SFX Dealing Room** by the Registrar, the financial advisor is authorized to provide financial services in respect of the following financial product categories:

Financial Product	Advice	Intermediary Services	Services under Supervision
1.13 Securities and Instruments: Derivative instruments	✓	✓	
1.17 Deposits as defined in the Banks Act – exceeding 12 months	✓	✓	
1.18 Deposits as defined in the Banks Act – 12 months Or less	✓	✓	
1.24 Structured Deposits	✓	✓	

No conditions or restrictions have been imposed by the Registrar.

Compliance Department

The provider has appointed Moonstone Compliance (Practice No 188) as its external compliance practice. The Compliance Officer is Ms. Charmaine Terblanche, Tel: 021 883 8000; Fax: 0866 15 1110; Postal Address: PO Box 12662, Die Boord, Stellenbosch, 7613.

Professional Indemnity

The provider **does not** hold suitable guarantees.

The provider **does** hold professional indemnity.

The provider **does** hold fidelity insurance cover.

Disclosure of Interest and Remuneration

Please note that the provider has established a Conflict of Interest Management policy which requires your financial advisor to disclose any actual or potential conflict of interest to you. A copy of the Conflict of Interest Management Policy is available to the client at this office during office hours each day. Neither the provider nor your financial advisor holds directly or indirectly more than 10% of any product supplier's shares or an equivalent financial interest. Your financial advisor **has received more than 30% of his total remuneration from Investec** limited during the preceding 12 months.

Complaint Resolution System and Procedures

Should you be dissatisfied with any aspect of the service performed by the provider or your financial advisor, you should address your complaint in writing to the Key Individual at the above address. Please note that we have established a written internal compliant

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resolution system with detailed procedures. Access to written procedures and a copy of the complaint resolution system is available to clients at this office during office hours each day.

Signing of Incomplete Documents

You are hereby advised and cautioned that no person acting on behalf of the provider may in the course of the rendering of a financial service request you to sign any written or printed form or document unless all details required to be inserted thereon by you or on your behalf have already been inserted.

Responsibility for Correctness and Completeness of Information

Please be aware when completing any documentation or providing any information, that all material facts must be accurately and properly disclosed. You are entirely responsible for the accuracy and completeness of all answers, statements or other information provided by you or on your behalf.

Please note that all material facts in respect of any application, proposal, order, instruction or other contractual information that is required to be completed for, or submitted to a product supplier by or on your behalf that relates to the purchase of or investment in any financial product, including any amendment thereof or variation thereto, must be accurately and properly disclosed.

Any misrepresentation or non-disclosure of a material fact or the inclusion of incorrect information could result in the cancellation of the transaction by the product supplier.

Waiver of Rights

You are hereby advised that no financial advisor or any other person may ask you or offer any inducement to you to waive any right or benefit conferred on you by or in terms of any provision of the General Codes of Conduct. A copy of the Code of Conduct is available on request.

General

The provider may from time to time receive non-cash incentives from product suppliers or indirect consideration from other persons. The provider will make available (on request) specific details should this occur.

All information obtained or acquired from you, the client, will remain confidential unless you provide written consent, or unless we are required by any law to disclose such information.

Signed for and on behalf of the Client

Signature:

Name:

At:

Date:

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