

Statutory Disclosure in terms of the Financial Advisory and Intermediary Services Act No. 37 of 2002 ('FAIS').

Name of FSP	TF GLOBAL MARKETS (SOUTH AFRICA) (PTY) LTD
Trading as	ThinkMarkets
Company Type	Private company
FSP License Number	49835
Registration number	2017/098181/07
Physical Address	Office WF0-004, Wrigley Fields Building, The Campus, 57 Sloane Street, Bryanston, 2020
Postal Address	Office WF0-004, Wrigley Fields Building, The Campus, 57 Sloane Street, Bryanston, 2020
Telephone	+27 10 446 5933
Email	<a href="mailto:support@thinkmarkets.com">support@thinkmarkets.com</a>
Website	<a href="http://www.thinkmarkets.com/za">www.thinkmarkets.com/za</a>

The license authorizes the licensee to carry on business in respect of Financial Advisory Services as Financial Service Provider in respect of the following products:

Authorised Financial Products:

The Financial Sector Conduct Authority has authorised ThinkMarkets in terms of the FAIS Act to render financial services in respect of the following financial products:

- Derivative Instruments
- Over-the-Counter Derivative Instruments, including Contracts for Difference (CFDs)

Category Description	Advice Automated	Advice Non-automated	Intermediary Scripted	Intermediary Other
<b>CATEGORY I</b>				
Shares		X		X
Derivative instruments			X	X
Short-term Deposits			X	X
<b>CATEGORY II - Discretionary FSP</b>				
Structured Deposits				X
Shares				X
Debentures and securitised debt				X
Warrants, certificates and other instruments				X
Derivative instruments				X
Participatory interests in one or more collective investment schemes				X
Short-term Deposits				X

#### Nature of Financial Services Rendered

ThinkMarkets provides non-advisory, execution-only intermediary services in respect of derivative instruments.

ThinkMarkets does not provide financial advice and does not consider a client's personal circumstances, financial position or investment objectives when rendering intermediary services.

#### OTC Derivatives and Counterparty Disclosure

Contracts for Difference are over-the-counter (OTC) derivative instruments. Transactions are entered into directly between the client and ThinkMarkets and are not executed on a recognised exchange.

As OTC transactions, CFDs are not subject to the protections of an exchange or central clearing house, and clients are exposed to counterparty risk in relation to ThinkMarkets.

#### Remuneration and Conflicts

ThinkMarkets has a Conflict-of-Interest policy which can be viewed on the website.

#### Remuneration

ThinkMarkets earns remuneration through spreads, mark-ups and/or commissions incorporated into the pricing of derivative transactions. No additional remuneration is payable by clients unless otherwise disclosed.

If you feel that your rights have been prejudiced, or you have been aggrieved in any way, you have the right to lodge a complaint. Our complaints process is available on the website. You may additionally contact the compliance department via email on [compliance@thinkmarkets.com](mailto:compliance@thinkmarkets.com). If you are unsatisfied with the internal process, you may escalate the process to the FAIS Ombud or if still unsatisfied to the Registrar at the Financial Sector Conduct Authority.

The FAIS Ombud contact information is below:

#### Physical address

Menlyn Central Office Building  
125 Dallas Avenue,  
Waterkloof Glen  
Pretoria 0010

#### Postal address

P O Box 41, Menlyn Park, 0063

#### Other

Tel: 012 762 5000  
Sharecall: 086 066 3274  
Email: [info@faisombud.co.za](mailto:info@faisombud.co.za)  
Website: [www.faisombud.co.za](http://www.faisombud.co.za)

Compliance Officer: Adil Siddiqui  
E-mail: [compliance@thinkmarkets.com](mailto:compliance@thinkmarkets.com)

External Compliance Officer: Askari Compliance Services CC  
Registration No 2007/155193/23 FSB 4863  
Contact: Warren Neale, Tel: 082 923-6260  
Fax: 086 633-1472  
E-mail: [warrenn@askaricompliance.com](mailto:warrenn@askaricompliance.com)

Authorised Key Individual: Annatjie van Rooyen

ThinkMarkets holds professional indemnity cover as prescribed by FAIS.

## REPRESENTATIVES

All representative names are available on request.

They are currently appointed to render financial services under the supervision of an individual who is deemed 'Fit and Proper' in terms of the FAIS Act. These individuals will remain under supervision until such time that they adhere to the 'Fit and Proper' requirements in relation to experience and qualifications.

All representatives are recorded on the Financial Sector Conduct Authority's Register of Representatives.

## FINANCIAL INTELLIGENCE CENTRE ACT (FICA)

In terms of the Financial Intelligence Centre Act (FICA), ThinkMarkets is an accountable institution. We are required to identify our prospective clients, verify the given information and keep records of the verifying documents. We are also obliged to report suspicious and unusual transactions that may facilitate money laundering to the authorities.

## FIT AND PROPER DECLARATION

It is hereby confirmed that all key individuals and representatives comply with the Fit and Proper requirements

set by the Regulator.

## Risk Warning

Derivative products are leveraged products and can result in losses that exceed initial deposits. Please ensure you fully understand the risks and take care to manage your exposure and seek independent advice if necessary. It's important for you to consider relevant legal documents before you decide whether or not to acquire any of our products.

When trading or investing in leveraged products, the value of such can rise and fall, which means that your investment could increase or decrease in value. The past performance of any products is not an indication of future performance. Please consider the risks involved before you trade or invest.

Clients should note that CFDs are complex financial instruments and involve a high risk of losing money rapidly due to leverage. You may lose more than your initial deposit. CFDs may not be suitable for all investors.