

## FAIS DISCLOSURE DOCUMENT

### AUTHORISED FINANCIAL SERVICES PROVIDER

Investec Markets (Pty) Ltd. is an authorised financial services provider (“FSP”) in terms of the Financial Advisory & Intermediary Services Act (“FAIS”). A copy of our license certificate is available on request.

<b>FSP Name</b>	Investec Markets (Pty) Ltd.
<b>FSP Number</b>	50726
<b>Registration Number</b>	2018/243092/07
<b>Physical Address</b>	100 Grayston Drive, Sandown, Sandton 2196
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In terms of the FAIS General Code of Conduct, Investec Markets (Pty) Ltd. (“IML”) is required to disclose the information in this document to you. You are therefore requested to read through the document carefully and ensure that you understand the contents.

If there is anything in this document that you do not understand, please request further information from IML.

### COMPLIANCE OFFICER

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### AUTHORISED PRODUCTS

#### Investec

Category Description	Advice Automated	Advice Non-automated	Intermediary Scripted	Intermediary Other
CATEGORY I				
Participatory interest in a hedge fund				X
Shares				X

Money market instruments				X
Debentures and securitised debt				X
Warrants, certificates and other instruments				X
Bonds				X
Derivative instruments				X
Participatory interests in one or more collective investment schemes				X
Long-term Deposits				X
Short-term Deposits				X

## REPRESENTATIVES ACTING UNDER SUPERVISION

There are currently no representatives acting under supervision:

## INSURANCE COVER

IML has professional indemnity cover as required by FAIS.

## CONFLICT OF INTEREST

IML implemented a conflict of interest policy as required by FAIS.

The conflict of interest management policy is published on IML's website at [https://www.investec.com/en\\_za/legal/SA/investec-markets-fais-conflicts-of-interest-policy.html](https://www.investec.com/en_za/legal/SA/investec-markets-fais-conflicts-of-interest-policy.html)

The conflict of interest management policy can also be obtained from IML on request from [Greg.Dunnett@investec.co.za](mailto:Greg.Dunnett@investec.co.za) or [Chriszinda.Immelman@investec.co.za](mailto:Chriszinda.Immelman@investec.co.za)



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## **COMPLAINTS**

Should you wish to pursue a complaint against IML you should address the complaint in writing to the Compliance Officer.

If IML does not resolve your complaint to your satisfaction, you are entitled to refer it to the office of the FAIS Ombud, at [info@faisombud.co.za](mailto:info@faisombud.co.za) or telephone number 0860 324 766. The Ombud has been created to ensure that all FSP's (including IML) treat customers fairly and that service is of an acceptable standard and as customers have been led to expect.

## **Regulated Services**

IML offers many of its services in terms of its authorised user licenses which includes membership of the JSE and A2X. Please note that when IML offers services in terms of its JSE or A2X license that it is exempt from FAIS and in those situations is not regulated under FAIS. Therefore clients are not afforded the same protections in respect of those additional products or services that may apply in respect of the provision of financial products or services in terms of the FAIS.