

# Financial Advisory and Intermediary Services Disclosure

## INTRODUCTION

Disclosure Notice in terms of Financial Advisory and Intermediary Services Act No 37 2002 "FAIS" OF Leverate Financial South Africa (Pty) Limited with the brand name FXPN (hereinafter "FXPN", "us" or "we") 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.

Leverate Financial South Africa (Pty) Ltd is authorized and regulated by the Financial Services Board in South Africa, FSP #51545.

Leverate Financial South Africa (Pty) Ltd, FXPN provides execution only services and enters into principal to principal transactions with its clients, on prices shown on the FXPN 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

Hansie Augustin-Zwiegers is the Key Individual and representative of FXPN, has been duly authorized to render intermediary services as defined in terms of the FAIS Act in respect of the products we are licensed for and meet the prescribed fit and proper requirements. FXPN 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 Hansie Augustin-Zwiegers, who is contactable on + (27) 21 883 8000 or [hansie@moonstonecompliance.co.za](mailto:hansie@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.

FXPN 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@fxpn.com](mailto:complaints@fxpn.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 Financial Ombudsman 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](mailto:info@faisombud.co.za)

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

## GENERAL

FXPN holds professional indemnity insurance.