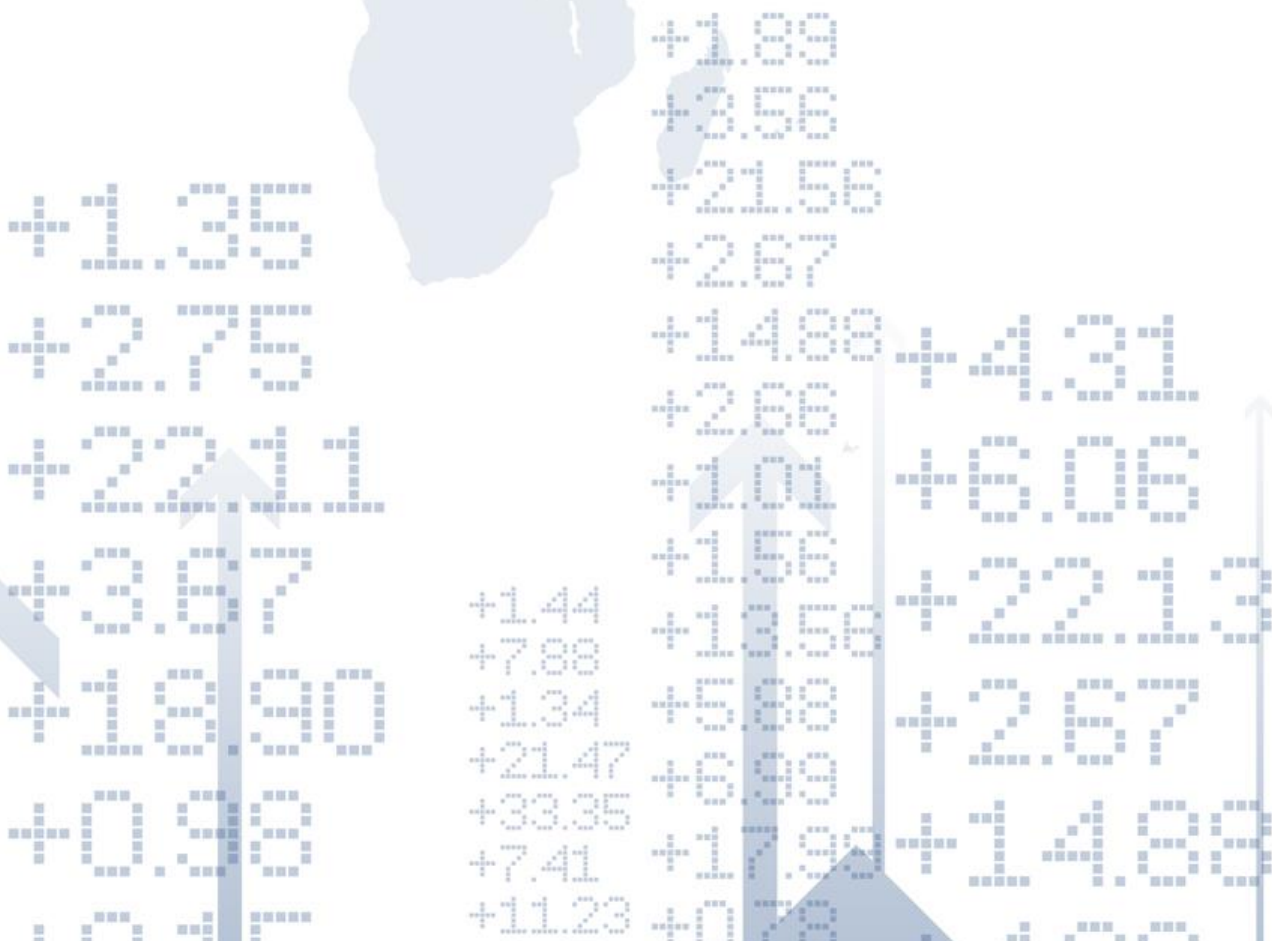


Plus500AU Pty Ltd

# Plus500

## World's Trading Machine



Financial Advisory and Intermediary Services Disclosure



## **Disclosure Notice in terms of Financial Advisory and Intermediary Services Act No 37 2002 “FAIS” of Plus500AU 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 .**

Plus500AU Pty Ltd is an Authorised Financial Services Provider #47546 in South Africa.. Plus500AU Pty Ltd is also licenced by the Australian Securities and Investment Commission, AFSL (#417727) and holds a New Zealand Derivatives Issuer Licence FSP #486026.

Plus500AU Pty Ltd (**Plus500AU**) provides execution only services and enters into principal to principal transactions with its clients, on prices shown on the Plus500 trading platform. These transactions are not traded on any exchange.

### **Authorised in respect of intermediary services for the following products**

Category description	Intermediary	Advice
<b>Category I</b>		
<b>Securities and Instruments: Derivative instruments</b>		

### **Authorised Representatives**

Sean Murphy is the Key Individual and representative of Plus500AU, 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.

Plus500AU accepts legal responsibility for those activities that the representative performed within the scope of implementing his employment contract/mandate.



## Fees and Charges

Our fees and charges are clearly displayed in the PDS and on the platform. 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 Compli-Serve Gauteng (Pty) Ltd. The registered compliance officer is Jan H Scholtz, who is contactable on 087 897 6970 or [jan@compliserve.co.za](mailto:jan@compliserve.co.za).

## Confidentiality

Where applicable all information will be kept by Plus500AU on a confidential basis and will not be made available to third parties unless so authorized by the client beforehand or if Plus500AU is required to divulge such information in the public interest or under any law.

## Conflict of Interest

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.

Plus500AU has a conflict of Interest policy which can be viewed on the website.

## Complaints

In the event that you are dissatisfied with any aspect of our service you may contact the FSP at the address shown at the end of this letter.

Should you wish to pursue a complaint against the representative of the FSP itself, you should address your complaint in writing to Sean Murphy, a registered key person of Plus500AU Pty Ltd again at the address shown at the end of this letter.

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.

Contact particulars of the Ombud: PO Box 74571, Lynnwood Ridge 0040, 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

Plus500AU holds professional indemnity insurance underwritten by Liberty International Underwriters.

PLUS500AU Pty Ltd - Statutory FAIS Disclosure ZA 2018/1

*Plus500AU Pty Ltd is a company incorporated in Australia (ACN 153 301 681) and licenced by ASIC (AFSL # 417727), holds a Derivatives Issuers licence granted by the New Zealand FMA, FSP # 486026 and Authorised Financial Services Provider # 47546 in South Africa.*



If you require any further information relating to this document kindly contact our offices:

**Plus500AU Pty. Ltd. ■ P.O. Box H339, Australia Square ■ Sydney NSW 1215, Australia**