



**FAIS DISCLOSURE DOCUMENT**

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## INTRODUCTION

In terms of the General Code of Conduct of the FAIS Act, Midori FX (Pty) Ltd (Registration number 2023/526901/07) is required to disclose the information in this document to you as an authorised Financial Services Provider. You are therefore requested to read through the document carefully and sign the acknowledgement that you have read and understand the contents hereof. If there is anything in this document that you do not understand, please request further information from us. You are entitled to a copy of this document for your own records and to request a copy of our FSP license certificate.

## THE REPRESENTATIVE

Name and Surname	<u>Fransoa Daniel Swart</u>
Capacity (NP/JR)	<u>Director</u>
Office Telephone number	<u>082 893 4101</u>
Email address	<u>admin@midorifx.com</u>

Midori FX (Pty) Ltd accepts responsibility for the activities of the Representative insofar as it is performed within the scope of the contractual agreement between Midori FX (Pty) Ltd and the Representative.

The Representative is currently rendering financial services under supervision: Yes  No

## FINANCIAL SERVICE PROVIDER, PRODUCTS AND CONTACT DETAILS

The Financial Sector Conduct Authority has duly authorised Midori FX (Pty) Ltd (Pty) Ltd to render financial services as defined in terms of the FAIS Act in respect of the following financial products:

Category Description	Advice Automated	Advice Non-automated	Intermediary Scripted	Intermediary Other
CATEGORY I				
Long-Term Insurance subcategory B1		X		X
Long-term insurance subcategory B2		X		X
Long-term Insurance subcategory B2-A		X		X
Long-term Insurance subcategory B1-A		X		X
Long-Term Insurance subcategory C		X		X
Retail Pension Benefits		X		X
Shares		X		X
Money market instruments		X		X
Debentures and securitised debt		X		X
Warrants, certificates and other instruments		X		X
Derivative instruments		X		X
Participatory interests in a collective investment scheme		X		X

Physical address	<u>697 Jacques Street, Moreleta Park, Pretoria, Gauteng, 0181, South Africa</u>	Postal Address	<u>697 Jacques Street, Moreleta Park, Pretoria, Gauteng, 0181, South Africa</u>
FSP license number	<u>53077</u>	Telephone	<u>082 893 4101</u>
Company registration	<u>2023/526901/07</u>		
Legal status	<u>Private Company</u>		

### EXEMPTIONS

The FSP was not awarded any exemptions from the Act.

### PRODUCT SUPPLIERS

Midori FX (Pty) Ltd markets the products of various product suppliers as set out in the “DETAILS OF PRODUCT SUPPLIERS” attached to this document.

### CONFLICT OF INTEREST MANAGEMENT POLICY

Midori FX (Pty) Ltd has adopted and implemented a conflict of interest management policy that complies with the provisions of the FAIS Act. The conflict of interest management policy is published on the website of Midori FX (Pty) Ltd at [www.midorifx.com](http://www.midorifx.com).

### INDEMNITY COVER

Midori FX (Pty) Ltd holds Professional Indemnity and Fidelity cover.

### COMPLIANCE OFFICER

<b>Name</b>	<u>Outsourced Compliance Services (Pty) Ltd (Registration number 2017/394441/07 and Practice number 7154)</u>
<b>Physical address</b>	<u>Unit A30, Innovation Worx, c/o 16th and Scale End Road, Halfway House, Midrand, Johannesburg, 1685</u>
<b>Contact person</b>	<u>LJ DE JONGH</u>
<b>Telephone number</b>	<u>072 6675991</u>
<b>E-mail</b>	<u>info@outsourcedcompliance.co.za</u>

### COMPLAINTS

Should you wish to pursue a complaint, you should address the complaint in writing.

If you cannot settle your complaint with us, you are entitled to refer it to the office of the FAIS Ombud:

<b>Telephone number</b>	<u>0860 324 766</u>
<b>E-mail</b>	<u><a href="mailto:info@faisombud.co.za">info@faisombud.co.za</a></u>

The Ombud has been created to provide you with a redress mechanism for any inappropriate financial advice that you feel may have been given to you by a financial services provider.

**FINANCIAL INTELLIGENCE CENTRE ACT (“FICA”)**

In terms of FICA, Midori FX (Pty) Ltd 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.

**DISCLAIMER**

You should note that there are risks involved in buying or selling any financial product, and past performance of a financial product is not necessarily indicative of the future performance. The value of financial products can increase as well as decrease over time, depending on the value of the underlying securities and market conditions. Hedge Funds are collective investment schemes to which the prescribed provisions of the Collective Investment Schemes Control Act (Act 45 of 2002) apply.