



**Disclosures concerning AT Global Markets SA (Pty) Ltd (FSP 44816) as required by FAIS.**

In terms of the Financial Advisory and Intermediary Services Act (FAIS) (Act No. 37 of 2002) the following information must be disclosed to clients and potential clients:

**FSP:** AT Global Markets SA (Pty) Ltd  
**Physical address:** 1020 Manhattan Place 130 Bree St Cape Town 8001  
**Postal Address: PO Box:** 1020 Manhattan Place 130 Bree St Cape Town 8001  
**Telephone:** 021-300 3117  
**E-mail:** [info@khwezifs.co.za](mailto:info@khwezifs.co.za)

AT Global Markets SA (Pty) Ltd holds a category 1, Advice and Category 2 FSCA License (FSP 44816).

**Category 1:**

- 1.1 Long-Term Insurance: Category A
- 1.2 Short-Term Insurance: Personal Lines
- 1.3 Long-Term Insurance: Category B1
- 1.20 Long-Term Insurance: Category B2
- 1.21 Long-Term Insurance: Category B2-A
- 1.22 Long-Term Insurance: Category B1-A
- 1.23 Short-Term Insurance: Personal Lines A1
- 1.4 Long-Term Insurance: Category C
- 1.5 Retail Pensions Benefits
- 1.6 Short-Term Insurance: Commercial Lines
- 1.7 Pension Funds Benefits (excluding retail)
- 1.8 Securities and Instruments: Shares
- 1.13 Securities and Instruments: Derivatives instruments
- 1.14 Participatory Interests in Collective Investments Schemes
- 1.18 Deposits defined in the banks act – 12 months or less

**Category 2:**

- 2.5 Securities and Instruments: Shares
- 2.6 Securities and instruments: Money Market Instruments
- 2.7 Securities and instruments: Debentures and Securitised Debt
- 2.9 Securities and instruments: Bonds
- 2.10 Securities and Instruments: Derivatives instruments
- 2.13 Long Term Deposits
- 2.14 Short Term Deposits

AT Global Markets SA (Pty) Ltd has access to and have been accredited to market products from the following product providers:

DMA  
Standard Bank

Neither the FSP nor I own more than 10% of the issued shares directly or indirectly of any Life Assurer or Financial Product Supplier.  
The FSP is not an associated company of any Life Assurer or Product Supplier.

Neither the FSP nor I have earned more than 30% of our total commission from any one Product Provider with the past 12 months.

The FSP and I earn income from Rebates that the Product Providers pay and a management and a performance fee if clients fall under a discretionary mandate. Fees are paid to me with respect to products offered by these Product Providers.

From time to time I may receive indirect consideration from the Product Providers. A gift register and the Conflict of Interest Management Policy are available for inspection upon request.

The FSP does have Professional Indemnity & Fidelity Guarantee Insurance cover.

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.  
A copy of the complaints process is available upon request.

We have been made aware that no provider may request or induce in any manner a client to waive any right or benefit conferred on a client in terms of the General Code of Conduct for Financial Service Providers and Representatives.

All information obtained or acquired from or about you shall remain confidential unless you provide written consent, or unless AT Global Markets SA (Pty) Ltd is required by law to disclose such information.

Independant Compliance Services (Pty) Ltd is the businesses compliance officer. ICS can be contacted at: Physical address: Office 9, Heritage Square, Cnr Gladstone and Vrede Street, Durbanville 7551, Tel No: 021 975 6597.

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Client

Signature

Date

**AT Global Markets SA (Pty) Ltd has a contractual relationship with the following products:**

**DMA**

48 7<sup>th</sup> Avenue  
Parktown North  
2123

Complaints:

011 201 6300 (Ext 14)

Compliance:

011 201 6300 (Ext 14)

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

**Standard Bank**

9<sup>th</sup> Floor  
Standard Bank Centre  
Johannesburg  
2001

Complaints:

011 636 9111

Compliance:

011 636 9112

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

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