



WEALTH AND INVESTMENTS

## STATUTORY DISCLOSURE

Version: 03.05.2019

As a client of Ironside Wealth and Investments (Pty) Ltd (the “FSP” hereafter and referred to as IWI), you have the right to the following information.

### A. COMPANY LEGAL STATUS

IWI, a Private Company registered in the Republic of South Africa under registration number 2018/065854/07, is a licensed Financial Services Provider (licence number 49827) in terms of FAIS. IWI accepts responsibility for the actions of its representatives, acting within their mandates in the rendering of financial services as defined by FAIS. Our representatives either meet the fit and proper requirements or operate under appropriate supervision in accordance with FAIS, and are qualified to assist you in a professional manner with your financial requirements.

Heading	Details
Company Name:	Ironside Wealth and Investments (IWI)
FSCA Licence Number:	49827
Physical Address:	3 <sup>rd</sup> Floor, 9 Kramer Road, Kramerville, Sandton.
Website:	TBC
Key Individual Email Address:	matthew@ironsideproperty.com
Telephone Number:	082 491 5803

### B. LEGAL STATUS OF KEY INDIVIDUAL AND REPRESENTATIVE.

IWI confirms that its key individual(s) and representative(s) are mandated and entitled to render financial advice and / or intermediary services to you in terms of FAIS. The Key individuals and Representatives are full time employees of the FSP.

#### Key Individual(s)

Name	Authorised Products
Matthew Ian Hallowes	As per section E & F below.

#### Representative(s)

Name	Authorised Products
Matthew Ian Hallowes	As per section E & F below.

### C. COMPLAINT HANDLING AND COMPLIANCE QUERIES

If you have a complaint or a compliance related query, please do not hesitate to contact our Compliance Officer:

Company Name:	L Pardy and Associates
Compliance Officer:	Louise Pardy
Telephone (c):	082 459 1520
Telephone (w):	031 582 1419

Client Initials:\_\_\_\_\_

Ironside Wealth and Investments - Page | 1

A copy of our complaints handling process is available on request. Should a complaint not be resolved to your satisfaction, you may forward such complaint to the Office of the FAIS Ombud for Financial Services Providers. Should a complaint not be resolved to your satisfaction within six (6) weeks of lodging your complaint, you can request assistance from the Office of the FAIS Ombud for Financial Services Providers. You need to refer the dispute to the Office of the FAIS Ombud within six (6 months) of the complaint not being resolved.

The details of the Office of the FAIS Ombud are:

Physical Address: Celtis House, Eastwood Office Parl, Lynwood. Pretoria.  
 Postal Address: P.O.Box 74571, Lynwood Ridge, 0040.  
 Telephone: 0860-FAISOM; 0860-324766  
 Email Address: info@faisombud.co.za

Please note that, if you wish to lodge a complaint with the FAIS Ombud against the FSP or our representatives, you will need to show that you have already attempted to resolve the matter directly with the FSP first.

## D. FINANCIAL SERVICES AND PRODUCTS

As an Authorised Financial Services Provider, the FSP has a Category I and II license issued by the Financial Services Conduct Authority (FSCA), to provide advisory and intermediary services in respect of the following financial products:

Category Description	Advice Automated	Advice Non-automated	Intermediary Scripted	Intermediary Other
<b>CATEGORY I</b>				
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
Structured Deposits		X		X
Securities and Instruments		X		X
Participatory interest in a hedge fund		X		X
Long-Term Insurance subcategory C		X		X
Retail Pension Benefits		X		X
Pension Funds Benefits		X		X
Shares		X		X
Money market instruments		X		X
Debentures and securitised debt		X		X
Warrants, certificates and other instruments		X		X
Bonds		X		X
Derivative instruments		X		X
Participatory interests in a collective investment scheme		X		X
Long-term Deposits		X		X
Short-term Deposits		X		X
<b>CATEGORY II - Discretionary FSP</b>				
Long-term Insurance subcategory B1			X	X
Long-Term Insurance: Category B2-A				X
Long-Term Insurance: Category B1-A			X	X
Structured Deposits			X	X

Securities and instruments	X	X
Participatory interest in a hedge fund	X	X
Long-term Insurance subcategory C	X	X
Retail Pension Benefits	X	X
Pension Funds Benefits	X	X
Shares	X	X
Money market instruments	X	X
Debentures and securitised debt	X	X
Warrants, certificates and other instruments	X	X
Bonds	X	X
Derivative instruments	X	X
Participatory interests in one or more collective investment schemes	X	X
Forex investment	X	
Long-term Deposits	X	X
Short-term Deposits	X	X
Long-term insurance subcategory B2		X

## E. PRODUCT SUPPLIERS

The following suppliers' products may be recommended by IWI to its clients under agreements between them and IWI:

<b>Name</b>	<b>Allan Gray Pty Ltd</b>
Physical Address	Oxford Corner, 32a Jellicoe Avenue, Level 1, Rosebank;
Postal Address	PO Box 51605, V&A Waterfront, Cape Town, 8002;
Telephone	Client Service Centre: 0860 000 654;
Compliance Department	Attention Compliance Department: <a href="mailto:info@allangray.co.za">info@allangray.co.za</a>
<b>Name</b>	<b>STANLIB Wealth Management Pty Ltd</b>
Physical Address	17 Melrose Boulevard, Melrose Arch, 2196;
Postal Address	PO Box 202, Melrose Arch, 2076;
Telephone	STANLIB Inland Priority Servicing: 0860 110 248;
Compliance Department	Attention Compliance Department: <a href="mailto:LISPRiskandCompliance@stanlib.com">LISPRiskandCompliance@stanlib.com</a>
<b>Name</b>	<b>Standard Bank Online Share Trading</b>
Physical Address	1st Floor, East Wing, 30 Baker Street, Rosebank, Johannesburg, 2196;
Postal Address	PO Box, 61309, Marshalltown, 2107;
Telephone	0860 121 161;
Compliance Department	Buys, Bianca B <a href="mailto:Bianca.Buys@standardbank.co.za">Bianca.Buys@standardbank.co.za</a>
<b>Name</b>	<b>Prescient</b>
Physical Address	Prescient House, Westlake Business Park, Otto Close, Westlake, Cape Town, 7945;
Postal Address	PO Box 31142, Tokai, 7966
Telephone	+27 21 700 3600
Compliance Department	Attention Compliance Department: <a href="mailto:compliance@prescient.co.za">compliance@prescient.co.za</a>

## F. CONFLICT OF INTEREST

In accordance with the FSP's Conflicts of Interest Management Policy, the FSP places a high priority on its clients' interests. As conflicts of interest could undermine the integrity and professionalism of the FSP and its employees, any potential or recognized instance must be identified as early as possible. Potential conflicts of interest are inherent in any business and therefore it is not the aim of the FSP to avoid all conflicts. If conflict situations cannot be avoided, the FSP will manage

Client Initials: \_\_\_\_\_.

Ironside Wealth and Investments - Page | 3

equitably and in the client's interest as an integral part of the FSP's duties and obligations. The FSP maintains an active Conflicts of Interest Management Policy, which is available on request.

**G. OTHER IMPORTANT MATTERS**

In terms of the Financial Intelligence Centre Act, 2001, the FSP is obliged to report any suspicious and unusual transactions that may facilitate money laundering.

It is important that you are sure that the product and transactions meet your needs and that you feel you have all the information you need before making a decision.

The FSP has a suitable Professional Indemnity and Fidelity Insurance Cover in place in accordance with FAIS.

Waiver of rights: You are hereby advised that no representatives of the provider or any other person may ask you, or offer any inducement to you, to waive any right or benefit conferred on you by or in terms of any provision of the FAIS Act.

**H. CLIENT UNDERSTANDING AND CONFIRMATION**

I confirm I have read this document and have received a copy of this notice.

Signed at: \_\_\_\_\_ on this the \_\_\_\_\_ day of \_\_\_\_\_ in the year \_\_\_\_\_.

\_\_\_\_\_.

Client Signature.

\_\_\_\_\_.

Portfolio Manager/Wealth Manager Signature.