

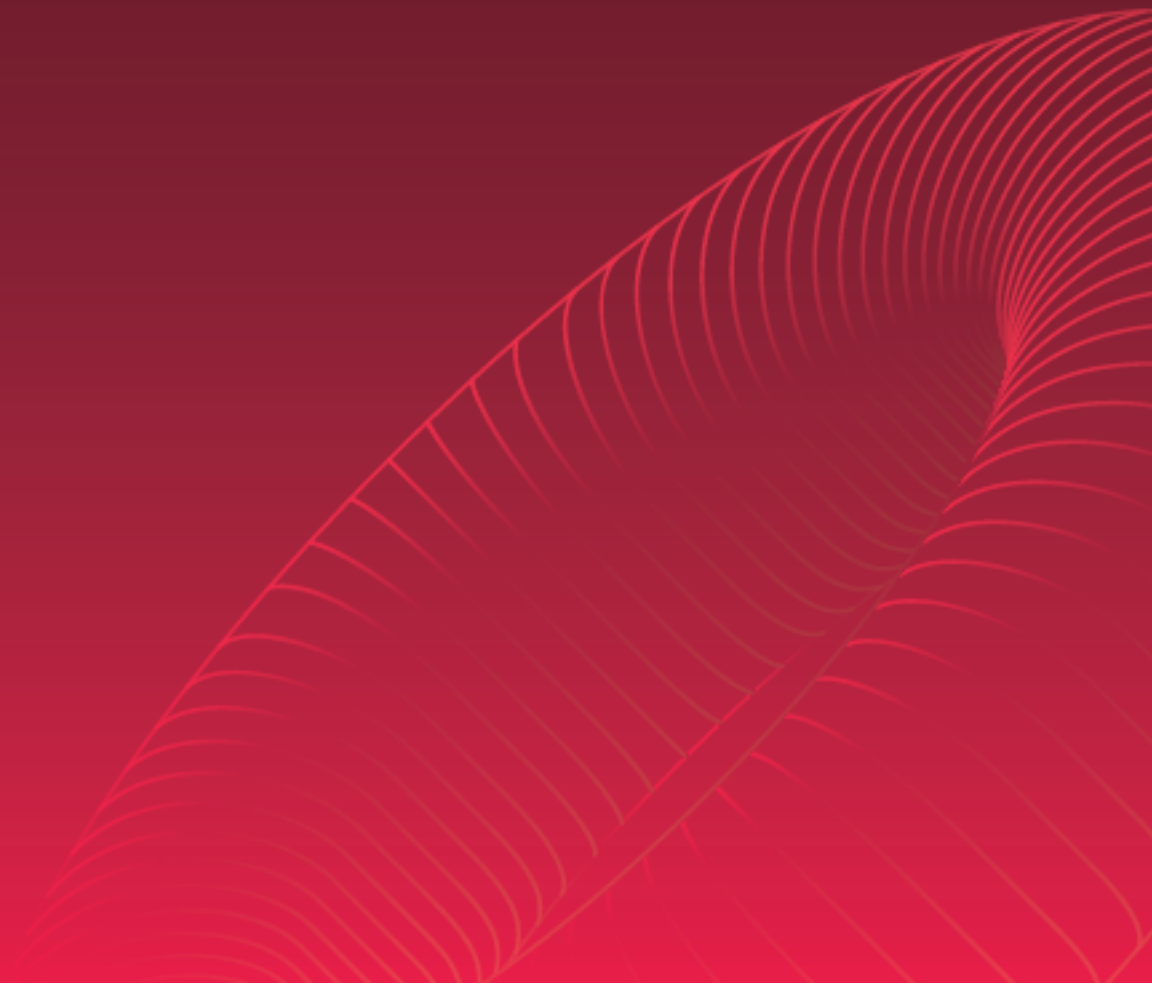


**TICKMILL**

SOUTH AFRICA

# FAIS Upfront Disclosure Document

July 2025





## Table of Contents

1. Companies Legal Status	3
2. Details of Key Individuals and Representatives	3
3. Legal status of Key Individuals and Representatives	4
4. Complaint Handling and Compliance Queries	4
5. Other Matters of Importance	5
6. Financial Services and Products	6
7. Conflicts of Interest	6
8. Client Understanding & Confirmation	6

<b>NAME:</b>	<b>Tickmill South Africa (Pty) Ltd</b>
<b>PHYSICAL ADDRESS:</b>	Office 11, 140 West Street, Sandton, Gauteng, 2196, South Africa.
<b>WEBSITE:</b>	<a href="http://www.tickmill.com">www.tickmill.com</a>
<b>EMAIL ADDRESS:</b>	<a href="mailto:roger@tickmill.com">roger@tickmill.com</a>
<b>TELEPHONE NUMBER:</b>	+852 5808 7849

### 1. Companies Legal Status

Tickmill South Africa (Pty) Ltd (The "FSP" hereafter) is a Private Company registered in the Republic of South Africa under registration number. As a licensed Financial Services Provider in terms of FAIS, the FSP 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 as prescribed by FAIS or operate under appropriate supervision in accordance with FAIS, and are qualified to assist you in a professional manner with your financial requirements.

The FSP avails a copy of the FSCA licence for inspection by the client at its place of business. The FSP acknowledges that it does not hold directly or indirectly more than 10% of the shares issued by the product supplier or an equivalent financial interest.

The FSP has contractual obligations with authorised product suppliers as indicated in the documents annexed. The services or products rendered by our representatives do not have restrictions and conditions imposed by the product supplier and or FAIS Act.

### 2. Details of Key Individuals and Representatives

<b>NAME</b>	<b>AUTHORISED PRODUCTS</b>
<b>ROGER JEAN-PIERRE ESKINAZI</b>	<b>As per table 1 below</b>

#### Representatives

<b>NAME</b>	<b>AUTHORISED PRODUCTS</b>
<b>ROGER JEAN-PIERRE ESKINAZI</b>	<b>As per table 1 below</b>

### 3. Legal status of Key Individuals and Representatives

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

The representatives are not remunerated from the product supplier and hereby submit that they do not receive more than 30% of the preceding year's commission or remuneration from the Product suppliers.



Our Representatives do not from time to time receive cash, or non-cash incentives from product suppliers in line with our conflicts of interest policy, a list of such details are recorded in a register and available at our offices for your perusal.

#### 4. Complaint Handling and Compliance Queries

##### Compliance Officer

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

<b>FSP Compliance Officer</b>	
<b>Name:</b>	<b>Ms. Beryl Francoise</b>
<b>Company</b>	<b>Tickmill South Africa (Pty) Ltd</b>
<b>Physical Address</b>	<b>Office 11, 140 West Street, Sandton, Gauteng, 2196, South Africa</b>
<b>Telephone:</b>	<b>+852 5808 7849</b>
<b>Email:</b>	<b><a href="mailto:compliance@tickmill.com">compliance@tickmill.com</a></b>

<b>Name:</b>	<b>Mr Leonardo d'Onofrio</b>
<b>Company</b>	<b>Oracle Compliance (Pty) Ltd</b>
<b>Telephone:</b>	<b>(011) 100 2551</b>
<b>Email:</b>	<b><a href="mailto:leonardo@oraclecompliance.com">leonardo@oraclecompliance.com</a> <a href="mailto:/andrea@oraclecompliance.com">/andrea@oraclecompliance.com</a></b>

##### FAIS Ombud

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:

<b>FAIS Ombud</b>	
<b>Physical Address:</b>	<b>125 Dallas Avenue Menlyn Central, Waterkloof Glen, Pretoria 0010</b>
<b>Postal Address:</b>	<b>PO Box 74571, Lynwood Ridge, 0040</b>
<b>Telephone:</b>	<b>012 762 5000/ 012 470 9080</b>
<b>Email</b>	<b><a href="mailto:info@faisombud.co.za">info@faisombud.co.za</a></b>

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.

## 5. Other Matters of Importance

- a. In terms of the Financial Intelligence Centre Act, 2001 FSP is obliged to report any suspicious and unusual transactions that may facilitate money laundering.
- b. It is important that you are absolutely sure that the product and transactions meet your needs and that you feel you have all the information you need before making a decision.
- c. The FSP has a suitable Professional Indemnity in place in accordance with FAIS.
- d. 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. Note further that no representative has a right to enter into any contractual obligation on the client's behalf, or to restructure portfolios without the client's prior written consent.
- e. The client authorises the FSP to access any relevant information required pertaining to the client to enable the FSP to adequately provide the necessary financial service or advice. Any client information obtained by our representatives shall remain confidential and shall not be disclosed to third parties unless otherwise required by a legal obligation or with your prior consent.

## 6. Financial Services and Products

Our Representatives are only authorised to provide services and advice in the product categories mentioned below only. Should the client require services outside of our licence approval, they may approach other licenced third parties authorised to render services in the desired product categories.

As an Authorised Financial Services Provider, the FSP has a Category I issued by the Financial Services Board in terms of FAIS, to provide advisory and or intermediary services in respect of the following financial products:

**TABLE 1**

	Financial Product	Advice	Intermediary Service	Supervision
1.8	Shares		x	
1.13	Derivative instruments excluding warrants		x	
1.15	Forex Investment Business		x	

## **7. Conflicts 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 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.

## **8. Client Understanding & Confirmation**

1. The client agrees to provide the FSP with the necessary information and written consent required to effect the client's mandate.
2. The client consents to provide the FSP with any information relating to the client's change in financial circumstance to enable the FSP to make the necessary adjustments to the financial plan.
3. The client understands that they have an obligation to provide the FSP with accurate information, material facts or statements relating to the completion of any transaction, and that they assume the sole responsibility for any damage incurred as a result of their failure to accurately disclose information.
4. It shall be the sole responsibility of the client to decide whether a product or financial decision is appropriate for their needs, objectives and circumstances, should the client elect to pursue a transaction contrary to the recommendation of the FSP.
5. I confirm I have read this document and have received a copy of this notice.