

FAIS DISCLOSURE DOCUMENT

INTRODUCTION

In terms of the General Code of Conduct of the FAIS Act, FRONTIER MARKETS (PTY) LTD (Registration number 2023/780267/07) 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	Fransoa Daniel Swart
Capacity (NP/JR)	CEO
Office Telephone number	082 893 4101
Cell phone number	082 893 4101
Email address	fswart@baywateram.com

FRONTIER MARKETS (PTY) LTD accepts responsibility for the activities of the Representative insofar as it is performed within the scope of the contractual agreement between FRONTIER MARKETS (PTY) LTD and the Representative.

The Representative is currently rendering financial services under supervision: Yes

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No

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FINANCIAL SERVICE PROVIDER, PRODUCTS AND CONTACT DETAILS

The Financial Sector Conduct Authority has duly authorised FRONTIER MARKETS (PTY) LTD to render financial services as defined in terms of the FAIS Act in respect of the following financial products:

Category	Sub-category	Category description	Advice	Intermediary-scripted	Intermediary other	Services under supervision
1	9	Money market instruments	X	X		
1	13	Derivative instruments	X	X		
1	15	Forex investment	X	X		
1	25	Securities and Instruments	X	X		
1	12	Bonds	X	X		
1	17	Long-term deposits	X	X		
1	18	Short-term deposits	X	X		

Physical address	11 WALNUT ROAD, DURBAN CENTRAL, DURBAN, KWA-ZULU NATAL, 4001
FSP license number	53333
Company registration	2023/780267/07
Legal status	Private Company

Postal Address	11 WALNUT ROAD, DURBAN CENTRAL, DURBAN, KWA-ZULU NATAL, 4001
Telephone	082 893 4101
Fax	082 893 4101

EXEMPTIONS

The FSP was not awarded any exemptions from the Act.

PRODUCT SUPPLIERS

FRONTIER MARKETS (PTY) LTD employs the liquidity provider Pocket Broker Ltd, which provides the services of market making, and established partnership with Pocket Investments LLC, services of which are aimed at promotion of the product.

FRONTIER MARKETS (PTY) LTD together with the liquidity provider Pocket-Broker markets the products of various product suppliers as set out in the “DETAILS OF PRODUCT SUPPLIERS” **attached to this document. (absent)**

CONFLICT OF INTEREST MANAGEMENT POLICY

FRONTIER MARKETS (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 FRONTIER MARKETS (PTY) LTD.

INDEMNITY COVER

FRONTIER MARKETS (PTY) LTD holds Professional Indemnity and Fidelity cover.

COMPLIANCE OFFICER

Name	Outsourced Compliance Services (Pty) Ltd (Registration number 2017/394441/07 and Practice number 7154)
Physical address	JHB address: 377 Rivonia Blvd, Rivonia, Johannesburg, Gauteng, 2128 CT address: Dock Road Junction, Cnr Stanley & Dock Road, Waterfront, Cape Town, Western Cape, 8001
Contact person	Mr JJ van Zyl
Telephone number	011 568 0925
E-mail	info@outsourcedcompliance.co.za

COMPLAINTS

Should you wish to pursue a complaint, you should address the complaint to support@pocket-broker.com.

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

Telephone number	0860 324 766
E-mail	info@faisombud.co.za

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, FRONTIER MARKETS (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.

CLIENT ACKNOWLEDGMENT

I/We the undersigned hereby acknowledge receipt of this Disclosure Document and have read and understand the contents.

Client	Signature	Date
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