

Financial Advisory and Intermediary Services Disclosure

INTRODUCTION

Disclosure Notice in terms of Financial Advisory and Intermediary Services Act No 37 2002 “FAIS” OF Atossa Financial Services (PTY) Ltd relating to the provision of financial services

As a prospective client, you have the right to information relating to our professional services as required in terms of the FAIS Act.

PLEASE NOTE THAT YOU WILL BE ASKED TO ACKNOWLEDGE RECEIPT OF THIS DOCUMENT at the account opening stage THEREBY ACKNOWLEDGING AND AGREEING TO BE BOUND BY THE CONTENTS HEREIN AND WE THEREFORE REQUIRE THAT YOU READ IT CAREFULLY.

Atossa Financial Services (Pty) Ltd is incorporated in South Africa with registration number 2021/675911/07 and is authorised and regulated by the Financial Sector Conduct Authority as an authorised financial services provider under license number FSP 52305. The principle and counterparty to each client for the contracts for difference is Finalto Financial Services, an authorised FSP 44816 and a licensed OTC Derivatives Provider, regulated by the FSCA. The website www.atossacapital.com is operated by Atossa Financial Services (Pty) Ltd based in South Africa.

These transactions are not traded on any exchange.

Authorised in respect of intermediary services for the following products:

Category 1 Financial Services [Category 1 FSP]		
Financial Product	Advice	Intermediary Service
Long-Term Insurance subcategory A	X	X
Short-Term Insurance Personal Lines	X	X
Long-Term Insurance subcategory B1	X	X
Long-Term Insurance subcategory C	X	X
Retail Pension Benefits	X	X
Pension Funds Benefits	X	X
Derivative Instruments	X	X
Participatory interest in a collective investment scheme	X	X
Long-term deposits	X	X
Short-term deposits	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
Short-term insurance Personal lines A1	X	X

AUTHORISED REPRESENTATIVES

Ingrid Farmer is the Key Individual and representative of Atossa Capital, has been duly authorized to render intermediary services as defined in terms of the FAIS Act in respect of the products we are licensed for and meet the prescribed fit and proper requirements.

FEES AND CHARGES

Our fees and charges are clearly displayed on our website and trading platforms. Any additional costs that may be applicable will be disclosed to you in advance.

Compliance with Financial Advisory and Intermediary Services Act “FAIS” Compliance with the FAIS Act is monitored by The Compliance Toolbox. The registered compliance officer is Charmaine Van Wyk, who is contactable on (011) 794 1189 or charmaine@ctb.co.za.

CONFIDENTIALITY

Potential conflicts of interest are inherent in any business and therefore it is not the aim of the FSP to avoid all conflicts but rather to take steps to identify and manage conflicts of interest to ensure that our clients are not unduly prejudiced.

Atossa Capital has a conflict-of-Interest policy which can be viewed on the website.

COMPLAINTS

If you are dissatisfied with any aspect of our service, you may contact complaints@atossacapital.com.

If you cannot settle your complaint with us, you are entitled to refer it to the FAIS Ombud. The Ombud has been created to provide you with a redress mechanism for any inappropriate financial advice that may have been given to you.

You may contact the Ombud with the following details:

PO Box 74571, Lynnwood Ridge 0040, Pretoria, South Africa.

Tel 012 470 9080

info@faisombud.co.za

www.faisombud.co.za

GENERAL

Atossa Capital holds professional indemnity insurance.