

Disclosure and Legal Information

As a client you have the right to the following information:

This notice does not form part of your contract.

1 Your Financial Services Provider, WAYNE ROGERS FINANCIAL BROKERS cc

i. Name : Wayne Rogers Financial Brokers cc Registration Number : CK 1997 / 021952 / 23

Physical address 6 Hornbill Street Postal Address as per residential
The Village
Cedar Lakes Residential Estate
Fourways

Telephone number 011 469-1661

E-mail address: wrogers@mweb.co.za Internet Site:

ii Legal status of Provider

Wayne Rogers Financial Brokers cc was registered as a Close Corporation in 1997. Wayne Rogers meets the fit and proper requirements as prescribed by FAIS, to assist you in a professional manner with your financial requirements. Wayne Rogers is an Independent Broker.

Treating customers fairly (TCF)

TCF aims at ensuring fair treatment of customers of the financial services industry. Wayne Rogers Financial Brokers CC is committed to the six outcomes of the TCF regulations. Wayne Rogers Financial Brokers CC aims to meet the expectation of its clients by treating them fairly and providing them with the best possible service and financial products.

2. Details of the Key Individual and Broker:

Name: WAYNE ROGERS Independent Broker since: April 1997

Office Address: 6 Hornbill Street, The Village, Cedar Lakes Residential Estate, Fourways
Postal Address: as above

Telephone number: 011 469-1661

E-mail address: wrogers@mweb.co.za Cell number: 082 441 9397

3. Legal status

- Licensed as a Financial Services Provider in terms of Section 8 of the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002) subject to the conditions and restrictions set out in the License Annexure
- I am a member of the **Financial Planning Institute (CFP®)**, and **Accredited Healthcare broker** with The Council for Medical Schemes (License Number ORG965 and BR5993).
- Qualifications: **Certified Financial Planner® – Post Graduate Diploma** in Financial Planning.
- As full time Broker of Wayne Rogers Financial Brokers, I do not directly or indirectly hold 10% of a Product Suppliers shares or have any financial interest in a Product Supplier.
- I did receive more than 30% of my total remuneration from Discovery Life and Health and more than 30% from Allan Gray in the preceding 12 months.
- I do hold Professional Indemnity Insurance offered through the Financial Planning Institute, the broker is PI Financial Risk Services (Pty) Ltd and the policy is underwritten by Manwood Underwriters (PTY) Ltd.
- See Quotation or Annexure for Information on Product Suppliers: Name, Physical and Postal Address, Telephone details, Name and Contact details of their Compliance Department.

4. Details of compliance, complaint process and FAIS Ombud

4.1 Wayne Rogers Financial Brokers compliance and complaints department

If you do have a complaint or a compliance related query, please do not hesitate to contact our compliance department on telephone number (011) 469-1661 or wrogers@mweb.co.za, who will be able to assist you and provide you with full details of Wayne Rogers Financial Brokers complaints handling process, if so required. Alternatively you can contact our compliance officers who are Compliserve SA (Pty) Ltd, a licensed compliance practise, CO194, contact details 0861 273 783 or email anel@compliserve.co.za.

We have a conflict of interest policy in place and a register of any conflict of interest is kept in our offices.

4.2 FAIS Ombud

Should a complaint not be resolved to your satisfaction, you may forward such complaint to the Office of the Ombud for Financial Services Providers

Name: Mr Charles Pillai **Address:** 125 Dallas Avenue Menlyn Central, Waterkloof Glen, Pretoria 0010
Contact: 086 066 3247 **Facsimile number:** 012 348 3447 **Email:** info@faisombud.co.za

Please note that, if you wish to lodge a complaint with the FAIS Ombud against Wayne Rogers Financial Brokers or Wayne Rogers, you will need to show that you have already attempted to resolve the matter directly with Wayne Rogers Financial Brokers.

5. Other matters of importance

- a) Do not sign any blank or partially completed application forms. Do not leave blank spaces.
- b) Complete all forms in ink.
- c) Keep and Read all documents handed to you.
- d) In terms of the Financial Intelligence Centre Act, Wayne Rogers Financial Brokers is obliged to report any suspicious and unusual transactions that may facilitate money laundering.
- e) It is important that you are absolutely sure that the product or transaction meets your needs and that you feel you have all the information you need before making a decision.

6. Financial Services and Products:

As an authorised Financial Services Provider, Wayne Rogers Financial Brokers has been licenced by the Financial Services Board in terms of the FAIS Act, to render advice and intermediary services in respect of the following financial products:

- Long-term insurance: Category A, B and C
- Short-Term Insurance Personal Lines
- Pension Fund benefits
- Retail pension benefits
- Shares
- Interests in collective investment schemes
- Health services benefits

I have a contractual relationship with and I am authorised to recommend the insurance and / or investment products covered in my letters of authority of the following insurers / investment houses:

Discovery Health	Discovery Life	Liberty Life	Momentum Life	Momentum Wealth	Financial
Management Institute	Itransact	Sygnia	Allan Gray	Fund House (Model Portfolio's)	

Zestlife Gap Cover and Sasfin Securities (We outsource to Sasfin Securities for Personal Share Portfolio advise and implementation. All clients referred to Sasfin become the client of Sasfin and sign a mandate with Sasfin to this effect.

I am paid for my services on a commission basis by the relevant Product Providers. These commissions are statutory.