

PEAK WEALTH PTY LTD

Financial Advisory and Intermediary

Contents

Introduction	3
Authorised Representatives.....	3
Complaint Handling and Compliance Queries	3
FAIS Ombud	4
Other Important Matters.....	4
Financial Services and Products.....	4

Introduction

Disclosure Notice in terms of Financial Advisory and Intermediary Services Act No 37 2002 “FAIS” OF Peak Wealth (Pty) Ltd (hereinafter “The Company”, “we”, “us” or “our”) relating to the provision of financial services.

Peak Wealth (Pty) Ltd is a Private Company registered in the Republic of South Africa under the registration number 2013/007163/07. As a licenced Financial Service Provider in terms of FAIS, the Company accepts responsibility for the action of its representatives, in the rendering of financial services as defined by the Financial Advisory and Intermediary Services Act, 37 of 200 (“FAIS Act”) as this is amended from time to time.

Name	Peak Wealth (Pty) Ltd
Address	Office 7, on Orange, Corner of Grey Pass and Orange Street, Cape Town, 8000 South Africa
Website	
Licence Number	FSB 33681
Email	

The Company acts as an intermediary in terms of the FAIS Act, rendering intermediary services in relation to derivative products.

Authorised Representatives

The Company confirms that Paul Baise is the key individual and representative, that has been duly authorised to render intermediary services as defined in terms of the FAIS act, meeting the prescribed fit and proper requirements.

Complaint Handling and Compliance Queries

The Company has a Complaints Handling Procedure that can be found on the website, which describes the method with which clients can launch complaints.

For any compliance related queries, please feel free to contact our Compliance Officer. Their information can be found in the table below.

Name	
FAIS Registration Number	2013/007163/07
Company	Peak Wealth Pty Ltd
Address	
Telephone	
Email Address	

FAIS Ombud

Prior to submitting a complaint with the Ombud, please consider contacting us at support@xtrade.com or our Compliance officer who would be happy to assist you in trying to resolve any issues. We welcome any queries, criticism, and feedback, regarding any issues or dissatisfaction that we would gladly assist and aim to resolve to your satisfaction.

FAIS Ombud Details	
Physical Address	Kasteel Park Office Park, Orange Building, 2 nd Floor, 546 Jochemus Street, Erasmus Kloof, Pretoria, 0048
Postal Address	P.O Box 74571, Lynnwood Ridge, 0040
Telephone	012 762 5000 / 086 066 3247
Email Address	info@faisombud.co.za

Other Important Matters

As per the FAIS Act is obliged to report any suspicious and unusual transactions that may facilitated money laundering.

The Company also has suitable Professional Indemnity in place as per the FAIS Act.

Clients are advised that they are aware and absolutely sure of the products or product supplier and transactions meet their needs and that you feel you have all the information you need before making a decision.

Financial Services and Products

The Company is authorised under Category I licenced issued by the Financial Sector Conduct Authority ("FSCA") in terms of FAIS to provide intermediary services for the following financial products.

	Financial Products	Advice	Intermediary Service	Supervision
	Category I Financial Services			
1.13	Securities and Instruments: Derivative Instruments excluding warrants	x	✓	x

Fees and Charges

Fees and Charges are clearly displayed on our website and platform. Any additional costs and fees may be applicable and will be disclosed in advance.

Conflicts of Interest

The Company has a Conflict of Interest policy which can be found within our website. We consider our client's best interest as a priority and as conflicts of interest could undermine the integrity and professionalism of our employees, we have put in place a strict policy to be followed in managing and disclosing where necessary all conflicts of interest. Potential Conflicts of Interest are inherent part of any business and therefore our aim to make sure that at any point we are identifying and managing them without causing any prejudice to our clients' interest.