

FSP DISCLOSURE DOCUMENT



DISCLOSURE	Full business and trade names	Zeus Capital Markets (Pty) Ltd
	Registration no.	Company Reg No: 2021/344172/07
	Physical address	The Gatehouse Unit 207, Century Way, Century City, Western Cape, 7441, South Africa
	Postal address	The Gatehouse Unit 207, Century Way, Century City, Western Cape, 7441, South Africa
	Fax no.	
	E-mail	customerservice@zeuscapitalmarkets.com
	Internet	www.zeuscapitalmarkets.com
	KEY INDIVIDUAL	
		Byron Hall
		<p>2. We, Zeus Capital Markets (Pty) Ltd certify that all representatives are registered as an representative and has a service contract to represent Zeus Capital Markets (Pty) Ltd. Zeus Capital Markets (Pty) Ltd accepts responsibility for the activities that the abovementioned Representative performs within the scope of his/her contract of agreement. Zeus Capital Markets (Pty) Ltd is satisfied that the Representative is competent to act when rendering a financial service on behalf of Zeus Capital Markets (Pty) Ltd, taking into consideration the personal character qualities of honesty and integrity, and competence and operational ability, as defined in the Fit and Proper requirements.</p> <p>3. Compliance Officer: Mr Warren Neale, Tel no: 0829236260 Fax no.: 0866631472 E-mail: compliance@zeuscapitalmarkets.com</p> <p>4. External Compliance Officer: Askari Compliance Services cc, Registration No 2007/155193/23 FSB 4863, Contact : Warren Neale, Cell : 082 923-6260 Fax : 086 633-1472</p>

5. DETAILS OF THE FINANCIAL SERVICES WHICH THE FSP IS AUTHORISED TO PROVIDE.

The licence authorizes the licensee to carry on business in respect of :

5.1.1 Financial Advisory Services as Financial Service Provider in respect of the following products:-

Category Description	Advice Automated	Advice Non-automated	Intermediary Scripted	Intermediary Other
CATEGORY I				
Long-Term Insurance subcategory A		X		X
Long-Term Insurance subcategory B1		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
Long-Term Insurance subcategory C		X		X
Retail Pension Benefits		X		X
Pension Funds Benefits		X		X
Shares		X		X
FX Pairs and Derivative instruments		X		X
Participatory interests in a collective investment scheme		X		X

5.2.1 Conditions and Restrictions: The financial service provider must inform the registrar in writing, by facsimile or in an appropriate electronic format, within the fifteen days after the change has taken place, of any change in respect of business information of the financial services provider as provided in form FSP1, FSP3, FSP4, FSP9, FSP10, FSP10A, OR FSP11, respectively of the application from which was submitted by the provider for the business of obtaining a license, and in particular relating to the providers representatives, auditor, compliance officer or any foreign clearing firm or foreign Forex service provider involved (if any) and nominee company or independent custodian involved or the shareholders, directors to trustees of any such company or custodian (if any)

DISCLOSURE	5.3.2 The financial service provider must at all times during the currency of the providers license maintain the services of any key individual or key individuals mentioned in the information submitted on the said application formant must as regards changes in respect of such information relating to a key individual or the appointment of a new key individual of the provider in addition to acting also in such cases in accordance with the procedure and time limit set out in Condition 1.also ensure full compliance with section 8(4)(b) of the Act, the provisions of which must be regarded as concluded in this Condition.	
	5.3.3 The financial service provider must within one month of the date contemplated in section 7 of the Act, submit a copy of the register in terms of section 13(3) of the Act to the registrar, and must thereafter in accordance with the procedure and time limit set out in Condition 1, inform the registrar of any change effected the details as contained in that register.	
	5.3.4 The Financial service provider must not in any manner change the name of the financial services business under such a changed name, unless(a)the provider has fully complied with the provisions of any other law than the Act that regulates such change of business name(if any), (b) the provider has fully disclosed to the Registrar the details of such compliance with such other law,(c) the Registrar is satisfied that such change of name is otherwise lawful and has approved such change of name and (d) the Registrar has issued to the provider an appropriately amended license under the provisions of section 8(5)(b)(l) of the Act.	
	5.3.5 The financial service provider must at all times ensure that any financial product in respect of which the provider intends to render a financial service, qualifies as a financial product contemplated in the Act and is or will be lawfully issued by the relevant product supplier by virtue of an authority, approval or right granted to such supplier under a law as contemplated in the definition of "product supplier" in section 1(1) of the Act.	
	6. GUARANTEES, PROFESSIONAL INDEMNITY, FIDELITY AND INSURANCE	
	The abovementioned Representatives holds the following cover:	Professional indemnity YES/NO
	7. SERVICES UNDER SUPERVISION	
	Does the abovementioned representative render financial services under supervision as defined in the determination of the Fit and Proper requirements? YES/NO	
	8. PROFESSIONAL INDEMNITY COVER	INSURER: SANTAM
	9. EXEMPTIONS	No specific exemptions or the existence of any exemptions have been granted or made by the registrar with regard to any matter covered by the Act.
10. FAIS OMBUD DETAILS	FAIS Ombud Tel no.: 012 470-9080, Fax no.: 012 470-9098, Physical address: Eastwood Office Park, Ground Floor c/o Lizjohn and Lynnwood Road, Lynnwood Ridge, 0181, Postal address: PO Box 74571, Lynnwood Ridge, 0040	
11. SHAREHOLDING	In terms of shareholding neither Zeus Capital markets (Pty) Ltd, nor I, has shareholding of more than 10% in any of the above companies.	

12. REMUNERATION PROFILE	In the preceding 12 months, the representatives have received more than 30% in total remuneration from the product supplier. YES / NO
	Zeus Capital Markets (Pty) Ltd declares that their main income is derived from: Commissions as agent on spread trading