

WAD

RETIREMENT SOLUTIONS

WA Davidson (Pty) Ltd
Registration number 2021/511405/07
FSP number 11277
("WAD")

FAIS Disclosure Notice

Introduction:

WA DAVIDSON (PTY) LTD

Reg. No. 2021/511405/07

Licensed Financial Services Provider FAIS No. 11277 | Authorized 13B Administrator Reg. No. 24/432

Directors : LC Dennison | BD Dick | GJ Montano | RB Dick

admin@wadavidson.co.za

In terms of the General Financial Advisory and Intermediary Services (“FAIS”) Act No. 37 of 2002 you are entitled to the following information:

WA Davidson (Pty) Ltd
72a Oxford Road, Riviera
Johannesburg
2193

Tel: +27 (11) 646 - 0290
www.wadavidson.co.za
Email: admin@wadavidson.co.za

Registration Number: 2021/511405/07

Financial Services and Products:

WAD is a Category 1 licensed Financial Services Provider in terms of FAIS, license number 11277 as well as an authorized 13b administrator registration number 24/432.

Copies of our licenses are available upon request

WAD is authorised to render advice and intermediary services in respect of the following financial products:

Retail Pension Benefits

Pension Benefits

Authorised Representatives:

WAD has duly authorised certain individuals to render intermediary services as defined in terms of FAIS under the WAD license. At any given time, these representatives may be under supervision.

Current Representatives include the following:

- Bronwyn Dick
- Lesley Dennison
- Sybil Carter
- Wilna van Rooyen
- Michelle Smit

Key Individuals:

- Bronwyn Dick
- Lesley Dennison

Conflicts of Interest:

WA DAVIDSON (PTY) LTD

Reg. No. 2021/511405/07

Conflicts of interest are inherent in any business and therefore the aim of WAD is to take steps to identify, disclose and manage conflicts of interest that may arise and to further ensure that our clients are not unduly prejudiced.

The Conflicts of Interest policy is available on the website; alternatively, by request.

Indemnity Cover:

WAD holds sufficient professional indemnity insurance as required by FAIS and the Pension Funds Act.

What will you have to pay us for our services?

The costs of our services are available and will be discussed prior to any conclusion of business. Any additional fees that may be applicable will be disclosed in advance.

Compliance with Financial Advisory and Intermediary Services Act “FAIS”:

Compliance with the FAIS Act is monitored by our internal Compliance Officer, Bronwyn Dick, who is contactable on +27 082 900 3009 or via email at bronwyn@wadavidson.co.za.

Financial Intelligence Centre Act (FICA):

Please note that in terms of the Financial Intelligence Centre Act, 38 of 2001 (FICA), or any amendments thereto, WAD is an accountable institution under law and as such obliged to report suspicious and unusual transactions that may facilitate money laundering and/or terrorist financing to the authorities.

Complaints:

Should you wish to pursue a complaint against a representative of WAD, you should address your complaint in writing to Legal & Compliance at the address shown at the head of this letter or e-mail bronwyn@wadavidson.co.za.

If you cannot settle your complaint with us, you are entitled to refer it to the office of the FAIS Ombud. The Ombud has been created to provide you with a redress mechanism for any complaints regarding financial services given to you by a licensed financial services provider.

Contact particulars of the Ombud:

PO Box 74571
Lynnwood Ridge 0040
Tel 012 470 9080
Fax 012 348 3447

info@faisombud.co.za

www.faisombud.co.za

You may also lay a complaint by selecting the relevant links on the FSCA website: www.fsc.co.za