



Annexure A Regulatory Disclosures

Annexure A – Regulatory Disclosures

FSP Information:

Trive South Africa (Pty) Ltd is an authorized Financial Services Provider with FSP number: **27231** and registration number: 2005/011130/07.

A copy of the FSP license is available for inspection upon request.

The relevant FSP information can be found below:

Physical Address: **4 Karen Street Office Park, Bryanston, Sandton, 2191**

Postal Address: **Same as above**

Telephone: **+27 10 157 5045**

Email: info.za@trive.com

Website: www.trive.co.za

Representatives:

The following persons are authorised Representatives mandated as such by Trive SA, which accepts responsibility for their activities and is authorised to render financial services:

- Barry Dumas;
- Daniel Izan de Bruin;
- Keamogetse Kealeboga Molefe;
- Marius Grobler;
- Odwa Zukanye Magwentshu;
- Shaun Dendere; and
- Travis Scott Robson.

Note that some of our Representatives may be rendering financial services under supervision as defined in the Fit and Proper Regulations.

All of our Representatives are fully compliant with the Fit and Proper Regulations as set out in Board Notice 194 of 2017.

Annexure A – Regulatory Disclosures

Services:

Trive SA is authorized to provide Advice and Intermediary Services in the following product categories and subcategories:

| Category Description | Advice Non-Automated | Intermediary Other |
|---|----------------------|--------------------|
| Category I | | |
| 1.4. Long-term Insurance Subcategory C | X | X |
| 1.5. Retail Pension Benefits | X | X |
| 1.8. Shares | X | X |
| 1.9. Money Market Instruments | X | X |
| 1.10. Debentures and Securitised Debt | X | X |
| 1.11. Warrants, Certificates and Other Instruments | X | X |
| 1.12. Bonds | X | X |
| 1.13. Derivative Instruments | X | X |
| 1.14. Participatory Interests in a Collective Investment Scheme | X | X |
| 1.17. Long-term Deposits | X | X |
| 1.18. Short-term Deposits | X | X |
| Category II | | |
| 2.5. Shares | X | X |
| 2.6. Money Market Instruments | X | X |
| 2.7. Debentures and Securitised Debt | X | X |
| 2.8. Warrants, Certificates and Other Instruments | X | X |
| 2.9. Bonds | X | X |
| 2.10. Derivative Instruments | X | X |
| 2.11. Participatory Interests in a Collective Investment Scheme | X | X |
| 2.13. Long-term Deposits | X | X |
| 2.14. Short-term Deposits | X | X |

Our Representatives are however only authorized to provide Intermediary Services in the above-mentioned Category I product categories and sub-categories.

Product Suppliers:

Trive SA has written authority to market the products of the following product suppliers and our Representatives are accredited to market their products:

- Nova Wealth Management (Pty) Ltd;
- Sygnia Financial Services (Pty) Ltd; and

Annexure A – Regulatory Disclosures

- Velocity Trade Financial Services (Pty) Ltd.

Trive SA does not hold more than 10% of the shares issued by any of our product suppliers.

Neither Trive SA, nor any of its Representatives, receive more than 30% of its/their total remuneration from any of our product suppliers.

None of our Representatives receive commission from any of our product suppliers.

Professional Indemnity Cover:

Trive SA holds professional indemnity insurance with Picara (Pty) Ltd.

Compliance Practice:

Compliance with the Financial Advisory and Intermediary Services Act, 37 of 2002, is monitored by Compli-Serve (Pty) Ltd, a compliance practice approved by the Financial Sector Conduct Authority with the following information:

Postal Address: **106 Johan Avenue, Sandton, 2196**

Telephone: **+27 87 897 6970**

Email: info@compliserve.co.za

In addition to the above, Trive SA's Head of Compliance can be contacted directly at daniel.vdmerwe@trive.com.

Conflicts of Interest:

Please note that in accordance with legislation we keep an updated Conflicts of Interest Management Policy and Disclosure Register. This Register informs you, our client, of all financial and ownership interests that we may become entitled to and lists the associate and business relationships of Trive SA.

This document ensures transparency in our dealings with our customers and is available for inspection.

Protection of Personal Information:

Annexure A – Regulatory Disclosures

All information obtained or acquired about our clients shall remain confidential unless such client provides written consent, or unless we are required by any law, to disclose such information.

Treating Customers Fairly:

Trive SA promotes the fair treatment of clients by integrating the guidelines and principles of Treating Customers Fairly in its Code of Ethics Policy and in all business dealings with its clients.

Complaints:

In the event that you are dissatisfied with any aspect of our service, you should address your complaint in writing to complaints.za@trive.com.

A copy of the Complaints Resolution policy is available on request.

General Disclosure:

Trive South Africa (Pty) Ltd (hereinafter referred to as “Trive SA”), with registration number 2005/011130/07, is an authorised Financial Services Provider in terms of the Financial Advisory and Intermediary Services Act, 37 of 2002. Trive SA is authorised and regulated by the South African Financial Sector Conduct Authority (FSCA) and holds FSP number 27231. Trive Financial Services Ltd (hereinafter referred to as “Trive MU”) holds an Investment Dealer (Full-Service Dealer, excluding Underwriting) Licence with licence number GB21026295 pursuant to section 29 of the Securities Act 2005, Rule 4 of the Securities Rules 2007, and the Financial Services Rules 2008. Trive MU is authorized and regulated by the Mauritius Financial Services Commission (FSC) and holds Global Business Licence number GB21026295 under Section 72(6) of the Financial Services Act. Trive SA and Trive MU are collectively known and referred to as “Trive Africa”.

Market and economic conditions are subject to sudden change which may have a material impact on the outcome of financial instruments and may not be suitable for all investors. Trive Africa and its employees assume no liability for any loss or damage (direct, indirect, consequential, or inconsequential) that may be suffered. Please consider the risks involved before you trade or invest. All trades on the Trive Africa platform are subject to the legal terms and conditions to which you agree to be bound. Brand Logos are owned by the respective companies and not by Trive Africa. The use of a company's brand logo does not represent an endorsement of Trive Africa by the company, nor an endorsement of the company by Trive Africa, nor does it necessarily imply any contractual relationship. Images are for illustrative purposes only and past performance is not necessarily an indication of future performance. No services are offered to stateless persons, persons under the age of 18 years, persons and/or residents of sanctioned countries or any other jurisdiction where the distribution of leveraged instruments is prohibited, and citizens of any state or country where it may be

Annexure A – Regulatory Disclosures

against the law of that country to trade with a South African and/or Mauritius based company and/or where the services are not made available by Trive Africa to hold an account with us. In any case, above all, it is your responsibility to avoid contravening any legislation in the country from where you are at the time.

CFDs and other margin products are complex instruments and come with a high risk of losing money rapidly due to leverage. You should consider whether you understand how these products work and whether you can afford to take the high risk of losing your money. Professional clients can lose more than they deposit. See our full Risk Disclosure and Terms of Business for further details. Some or all of the services and products are not offered to citizens or residents of certain jurisdictions where international sanctions or local regulatory requirements restrict or prohibit them.