Upfront Disclosure Document
FXCM South Africa (Pty) LTD
FSP: 46534
Table of Contents

1. Companies Legal Status .................................................................................................................................................. 3
2. Details of Key Individuals .................................................................................................................................................. 3
3. Legal status of Key Individuals ...................................................................................................................................... 3
4. Complaint Handling and Compliance Queries .................................................................................................................. 3
5. Other Matters of Importance ............................................................................................................................................. 5
6. Financial Services and Products ....................................................................................................................................... 5
7. Conflicts of Interest ............................................................................................................................................................. 5
8. Client Understanding & Confirmation .................................................................................................................................. 5
1. Companies Legal Status

FXCM South Africa (Pty) LTD (“FXCM South Africa,” the “FSP” hereafter) is a Private Company registered in the Republic of South Africa under registration number 2015/279499/07. As a licensed Financial Services Provider in terms of Financial Advisory and Intermediary Service Act, Act 37 of 2002 (FAIS), FXCM South Africa accepts responsibility for the actions of its employees, acting within their mandates, in the rendering of financial services as defined by FAIS.

2. Details of Key Individuals

Key Individuals

<table>
<thead>
<tr>
<th>NAME</th>
<th>AUTHORISED PRODUCTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nestor Matheus Lengacher</td>
<td>As per table 1 below</td>
</tr>
</tbody>
</table>

3. Legal status of Key Individuals

FXCM South Africa confirms that its key individual is mandated and entitled to supervise the rendering of intermediary services rendered by our trading platform to you.

4. Complaint Handling and Compliance Queries

Trade Inquiries

If you have a complaint regarding an issue with your trading account and/or trades, you can submit a trade inquiry by submitting the Online Trade Audit Form to FXCM South Africa. Please note that all trading inquiries must be logged as quickly as possible after the trading issue has occurred. We have a dedicated team of professionals that are trained to research and resolve trade inquiries. Once the trade has been researched you will be contacted and you will receive a full explanation of what occurred on the trade(s) that were reported for investigation. If the Trade Audit Committee determines you were negatively impacted by a technical issue, an adjustment will be offered.

If our customer service or trade audit teams are unable to resolve the matter or if you wish to submit a complaint without working with our customer service or trade audit teams, you may submit a formal complaint by completing our Online Complaint Form. Alternatively, you may contact our local Compliance Officer:
The complaint will receive an impartial review to determine if we have acted fairly within our rights and have met our contractual obligations. We will acknowledge your complaint promptly, and a full written response will be provided within six weeks of receiving the complaint.

**FAIS Ombud**

If you are not satisfied with how your complaint has been handled or if you feel it still remains unresolved, you can refer your complaint to the [FAIS Ombud](#) for Financial Services Providers, within six months from the date that we issue our final response to the complaint filed.

Please note that, if you wish to lodge a complaint with the FAIS Ombud against the Financial Services Provider, you will need to show that you have already attempted to resolve the matter directly with the FSP first.
5. **Other Matters of Importance**

   a. In terms of the Financial Intelligence Centre Act, 2001 the FSP is obliged to report any suspicious and unusual transactions that may facilitate money laundering.

   b. Please be advised that our service includes products that are traded on margin and could result in losses in excess of your deposited funds. The products may not be suitable for all investors. Please ensure that you fully understand the risks involved.

   c. The FSP has a suitable Professional Indemnity and Fidelity Insurance Cover in place in accordance with FAIS.

   d. Waiver of rights: You are hereby advised that no employee of the provider or any other person may ask you, or offer any inducement to you, to waive any right or benefit conferred on you by or in terms of any provision of the FAIS Act.

   e. You hereby authorize FXCM South Africa to receive a copy of the customer due diligence performed, which includes copies of your submitted identification documents to FXCM South Africa.

6. **Financial Services and Products**

   As an Authorised Financial Services Provider, the FSP has a Category I license issued by the Financial Services Board in terms of FAIS, to provide advisory and intermediary services in respect of the following financial products:

   **TABLE 1**

<table>
<thead>
<tr>
<th>Financial Product</th>
<th>Advice</th>
<th>Intermediary Service</th>
<th>Supervision</th>
</tr>
</thead>
<tbody>
<tr>
<td>CATEGORY I</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.13</td>
<td>Securities and Instruments: Derivative instruments excluding warrants</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

   It is important to note that FXCM South Africa and its employees do not render advice as defined by the Financial Advisory and Intermediary Services Act, Act 37 of 2002. It is highly recommended that you consult your Financial Adviser for any investment advice you may require.

7. **Conflicts of Interest**

   In accordance with the FSP’s Conflicts of Interest Management Policy, the FSP places a high priority on its clients’ interests. As conflicts of interest could undermine the integrity and professionalism of the FSP and its employees, any potential or recognized instance must be identified as early as possible. Potential conflicts of interest are inherent in any business and therefore it is not the aim of the FSP to avoid all conflicts. If conflict situations cannot be avoided, the FSP will manage equitably and in the client’s interest as an integral part of the FSP’s duties and obligations. The FSP maintains an active Conflicts of Interest Management Policy, which is available on request.

8. **Client Understanding & Confirmation**

   I confirm I have read this document and can download a copy of this notice for my records.