



# Consilium Capital

## FAIS Disclosure Notice

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

### Basic Information

Name: Consilium Capital SA (Pty) Ltd (“CCSA”)

Registration Number: 1996/000203/07

VAT Registration Number: 4800162838

FSP Number: 5654

First Floor, 10 Melrose Boulevard, Melrose Arch, Melrose North, Johannesburg, 2076

Tel: +27 (10) 001 5203

Web: [www.ccessm.co.za](http://www.ccessm.co.za)

Email: [mark@consiliumsa.co.za](mailto:mark@consiliumsa.co.za)

CCSA is a licensed Financial Services Provider in terms of FAIS, license number 5654. A copy of our license is available upon request.

### Financial Services and Products

CCSA is authorised for the following financial products:

|      |   |
|------|---|
| 1    | CATEGORY I  |
| 1.4  | LONG-TERM INSURANCE: SUBCATEGORY C                                    |
| 1.5  | RETAIL PENSION BENEFITS   |
| 1.7  | PENSION FUND BENEFITS (EXCLUDING RETAIL PENSION BENEFITS)             |
| 1.8  | SECURITIES AND INSTRUMENTS: SHARES                                    |
| 1.12 | SECURITIES AND INSTRUMENTS: BONDS                                     |
| 1.13 | SECURITIES AND INSTRUMENTS: DERIVATIVE INSTRUMENTS EXCLUDING WARRANTS |
| 1.14 | PARTICIPATORY INTERESTS IN COLLECTIVE INVESTMENT SCHEMES              |
| 1.15 | FOREIGN CURRENCY DENOMINATED INVESTMENT INSTRUMENTS                   |
| 1.17 | DEPOSITS DEFINED IN THE BANKS ACT – EXCEEDING 12 MONTHS               |
| 1.18 | DEPOSITS DEFINED IN THE BANKS ACT – 12 MONTHS OR LESS                 |
| 2    | CATEGORY II   |
| 2.5  | SECURITIES AND INSTRUMENTS: SHARES                                    |
| 2.9  | SECURITIES AND INSTRUMENTS: BONDS                                     |
| 2.10 | SECURITIES AND INSTRUMENTS: DERIVATIVE INSTRUMENTS                    |
| 2.11 | PARTICIPATORY INTERESTS IN CIS  |

### Authorised Representatives:

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

Current Representatives include the following:

- Mark Sonik (Key Individual)
- Consilium Corporate and Employee Share Scheme Manager (Pty) Ltd  
Reg No 2012/212485/07 (Juristic Representative)

**Conflicts of Interest**

Conflicts of interest are inherent in any business and therefore the aim of CCSA 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.

**Indemnity Cover**

CCSA holds sufficient professional indemnity insurance as required by FAIS.

**Costs**

The costs of our services will be laid out in our mandate which is to be signed, 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 Warren Neale of Askari Compliance Services, who is contactable on [warren@askaricompliance.com](mailto:warren@askaricompliance.com)

**Financial Intelligence Centre Act (FICA):**

Please note that in terms of the Financial Intelligence Centre Act (FICA), CCSA is an accountable institution under law and as such obliged to report suspicious and unusual transactions that may facilitate money laundering to the authorities.

**Complaints**

Should you wish to pursue a complaint against a representative of CCSA, you should address your complaint in writing to: [mark@consiliumsa.co.za](mailto:mark@consiliumsa.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 inappropriate financial advice that you feel may have been given to you by a financial services provider.

**Contact particulars of the Ombud**

Postal: PO Box 74571, Lynnwood Ridge, 0040.

Tel: 012 470 9080

Fax: 012 348 3447

Email: [info@faisombud.co.za](mailto:info@faisombud.co.za)

Web: [www.faisombud.co.za](http://www.faisombud.co.za)