

Checklist of Key Information that FSPs should have on their website i.t.o Disclosures

AUTHORISED FINANCIAL SERVICES PROVIDER

WM Du Preez Financial Services (Pty) Ltd is an authorized financial services provider (FSP number 46066) in terms of Section 8 of the FAIS Act.

A copy of our license certificate is available on request.

FSP Name	Du Preez Financial Services
Registration number	2012/058217/07
Contact person	Wayne Du Preez
Email	wayne@dupreezfs.co.za
Telephone number	0837971697 0319427273

COMPLIANCE OFFICER

Name	Masthead (Pty) Ltd
Telephone number	021 686 3588
Email address	info@masthead.co.za
Website	www.masthead.co.za

We have published a copy of our Statutory Disclosure Notice on our website.

CONFLICT OF INTEREST MANAGEMENT POLICY

WM Du Preez Financial Services (Pty) Ltd has adopted and implemented a Conflict of Interest Management policy that complies with the provisions of the FAIS Act.

The Conflict of Interest Management policy is published on our website. You can also email wayne@dupreezfs.co.za to obtain a copy of it.

COMPLAINTS PROCEDURE

Should you wish to pursue a complaint against a key individual or representative of, WM Du Preez Financial Services (Pty) Ltd you should address the complaint in writing to us at

wayne@dupreezfs.co.za.

If you cannot settle your complaint with us, you are entitled to refer it to the Office of the FAIS Ombud, at info@faisombud.co.za or telephone number 0860 324 766. 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 advisor.

TCF POLICY

Our Treating Customers Fairly policy is centred around the guidelines provided by the Financial Services Board to ensure we consistently deliver fair outcomes to our clients and take responsibility for the business and staff providing an enhanced service quality to clients, based on a culture of openness and transparency. As a business, we take the requirements of the FSB seriously, in particular, the requirement to treat customers fairly.

PRIVACY POLICY

WM Du Preez Financial Services (Pty) Ltd is committed to maintaining the privacy and security of its customers' personal and private information. Our privacy policy outlines our practices and commitment to the customer and is published on our website.

PAIA MANUAL

This information manual provides an outline of the types of records held by WM Du Preez Financial Services (Pty) Ltd and explains how one may submit requests for access to these records in terms of the Promotion of Access to Information Act, 2 of 2000 ("the Act"). We have published our PAIA manual on our website.

WEBSITE DISCLAIMER

Whilst every care is taken to ensure that the information on WM Du Preez Financial Services (Pty) Ltd website is current and accurate, please do have a look at our website disclaimer which we have published on the website.