

# Disclosure document

2017

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Foundation Family Wealth (Pty) Ltd is an Authorised Financial Services Provider

Oaktree Park, 10 Eastwood Road, Dunkeld, 2196 • PO Box 651010, Benmore 2010  
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[www.foundationsa.com](http://www.foundationsa.com)

**FOUNDATION**  
FAMILY WEALTH

# INFORMATION TO CLIENTS IN RESPECT OF THE FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT ("FAIS")

Foundation Family Wealth (Pty) Ltd is an authorized financial services provider as defined in the Financial Advisory and Intermediary Services Act 2002 (FAIS) and we undertake to abide by the requirements as set out in this Act.

We will maintain suitable and sufficient professional indemnity or fidelity insurance at all times.

We have no conflicts of interest and will disclose all necessary information in the event that a conflict arises. Our internal conflict of interest management policy is available on request from our offices.

We also commit ourselves to swift, effective and fair resolution of your complaints. Address your complaints to Sunél Veldtman or Elke Zeki at [sunel@foundationfamilywealth.co.za](mailto:sunel@foundationfamilywealth.co.za) or [elke@foundationfamilywealth.co.za](mailto:elke@foundationfamilywealth.co.za). We will acknowledge all complaints in writing. There is a Complaints Policy in place and available for inspection upon request.

Should the complaint still not be resolved to your satisfaction, this can within a period of six months be submitted in writing to the FAIS Ombud for Financial Service Providers. Their details:

The following individuals are registered at the FSB as authorised representatives, and may act on behalf of Foundation Family Wealth:

**Sunél Veldtman**

**Elke Zeki**

**Michelle Le Roux**

**Thiart van der Merwe** (under supervision)

Foundation Family Wealth does not hold more than 10% of the relevant product supplier's shares, or has any equivalent substantial financial interest in the product suppliers we use.

Foundation Family Wealth does not earn any commissions, and therefore we don't receive more than 30% of our remuneration from one particular product supplier.

We collect personal information from you, in order to provide advice, products and services to you. Personal information means any information that may be used to identify an individual, including, but not limited to, a first and last name, e-mail address, a home, postal or other physical address, other contact information, title, birth date, gender, occupation, investments, assets, liabilities, insurance and other information needed to provide a service you requested.

We may send your personal information to other companies or people under any of the following circumstances:

- we have your consent to share the information.
- we need to share your information to provide advice, reporting, analysis, products or services you have requested
- we need to send the information to companies, who will provide a product or service to you
- we are required to do so by law

In addition your information may be hosted on servers managed by a third party service provider.

From time to time we will perform analysis on our databases. The results of this analysis may be released to third parties, but only in aggregate form and will contain no personal information at all.

By signing this disclosure agreement you are providing your consent to for us to store your information on servers managed by third parties and to share your information in order for us to provide advice, reporting, analysis, products and services you have requested.

## FAIS OMBUD DETAILS:

**Address:** Sussex Office Park, Ground Floor, Block B, Cnr Lynnwood Road & Sussex Ave, Lynnwood, 0081

**Telephone:** +27 12 762 5000

**Facsimile:** +27 86 764 1422

**E-mail Address:** info@faisombud.co.za

**Website:** www.faisombud.co.za

## LEGAL AND STATUTORY INFORMATION

### **Foundation Family Wealth (Pty) Ltd**

**Reg No:** M2011/009772/07

**Physical address:** Oaktree Park, 10 Eastwood Road, Dunkeld, 2196

**Tel number:** +27 11 268 6484

**FSP license number:** 43439

### **Compliance officer:**

Nelda de Jager, Moonstone (Pty) Ltd  
Email: ndejager@moonstoneinfo.com  
Tel number: 082 884 1828

**Financial Services Board (FSB) toll-free helpline:** 0800 110 443

## SERVICES

Foundation Family Wealth is authorised to provide a range of advice, discretionary and intermediary services to its clients, including:

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| Products   |
| Long Term B1                                       |
| Long Term B2                                       |
| Long Term C  |
| Retail Pension Benefits/Retirement Annuities       |
| Securities & Instruments: Shares                   |
| Securities & Instruments: Money Market Instruments |
| Securities & Instruments: Debentures               |
| Securities & Instruments: Warrants                 |
| Securities & Instruments: Bonds                    |
| Securities & Instruments: Derivatives              |
| Collective Investment Schemes                      |
| Long - Term Deposits                               |
| Short - Term Deposits                              |

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## SERVICE PROVIDERS

Foundation Family Wealth has agreements in place with the following service providers:

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|---------------------------------|
| FNB Securities                  |
| Glacier                         |
| Momentum Wealth                 |
| Coronation                      |
| Prudential                      |
| PortfolioMetrix                 |
| Saxo Bank                       |
| Glacier International           |
| Investec Corporate Cash Manager |
| Investec Asset Management       |
| Stanlib                         |
| Peregrine FX                    |
| Ashburton/RMB                   |
| Capital International           |
| Fairtree Capital                |

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