

# DISCLOSURE DOCUMENT

**McArthur Financial Planning Services CC – (hereinafter referred to as McArthur)**

**is an Authorised Financial Service Provider under Licence No. 301**

## **Disclosure and other legal information**

This notice does not form part of any contract with either a Financial Service Supplier or us.

As a client you have the right to the following information:

### **1. Details of your Financial Services Provider:**

Name: Mc Arthur Financial Planning Services cc

Registration No: CK 1996/058025/23

Physical address: 28 Dalmore Road

Postal Address: Po Box 101

Tokai  
7945

Bergvliet  
7864

Telephone number: +27 (0) 21 712 5410

E-Mail address: [mcarthurfps@global.co.za](mailto:mcarthurfps@global.co.za)

**McArthur Financial Planning Services CC** was registered as a Close Corporation in 1996. All Key Individuals and members of this Close Corporation meet the fit and proper requirements as prescribed by FAIS, to assist you in a professional manner with your financial, investment management and Estate Planning requirements. McArthur FPS CC is approved by the FSB as an Authorised Discretionary Financial Services Provider. All clients sign a client mandate approved by the FSB to manage their investment and financial assets as mutually agreed to.

### **2. Details of the Key Individuals:**

Name: 1. **Dennis Arthur Schwulst** (Previously Estate, Financial Planner/Manager with Syfrets Ltd)

Name: 2. **Carol Anne Mills** (Previously Manager Retail Investments – Karlein International Investments)

### **3. Legal Status:**

McArthur FPS CC is licensed as a Financial Services Provider in terms of section 8 of the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002) subject to the conditions and restrictions set out in the Licence Annexure, a copy of which is available for your perusal at our office.

4. **The Key Individuals** as full time Investment Managers/Financial Planners of McArthur FPS CC. We do not individually, directly or indirectly hold 10% of a Product Suppliers shares or have any financial interest in a Product Supplier.

McArthur FPS CC holds professional indemnity insurance.

# DISCLOSURE DOCUMENT

## 5. Details of Compliance, complaint process and FAIS Ombud

McArthur FPS CC has a **compliance officer** as required by the FAIS Act. The details are as follows:

**Fritz Rossouw from Compli-Serve**; Phone: 0878 976970, Fax No. 021 674 2821

E-mail: [frits@compliserve.co.za](mailto:frits@compliserve.co.za)

If you have a complaint or a compliance related query, please do not hesitate to contact Compli-Serve. They will be able to assist you and provide you with full details of McArthur FPS CC complaints handling process, if so required.

Should a complaint not be resolved to your satisfaction, you may forward such complaint to the **Office of the Ombud for Financial Services Providers**

Address: Po Box 74571, Lynwoodridge, 0040, Contact: 0860 324 766

Facsimile: +27 (0) 12 348 3447 E-Mail: [info@faisombud.co.za](mailto:info@faisombud.co.za)

Please note that, if you wish to lodge a complaint with the FAIS Ombud against McArthur FPS CC, you will need to indicate that you have already attempted to resolve the matter directly with McArthur FPS CC.

## 6. Other matters of importance

- a. Do not sign any blank or partially completed forms. Do not leave spaces. Complete all forms in ink.
- b. Keep and Read all documents handed to you.
- c. In terms of the Financial Intelligence Centre Act, McArthur FPS CC is obliged to report any suspicious and unusual transactions that may facilitate money laundering, receipt of proceeds of unlawful activities, or where there appears to be no apparent purpose for a transaction
- d. It is important that you are absolutely sure that the product/service or transaction meets your needs and that you feel you have all the information you need before making a decision.

## 7. Confidentiality and Personal Information protection

In terms of the Protection of Personal Information Act, 2013 ("POPIA") all Personal Information of Clients as defined in terms of POPIA will be kept by Mc Arthur FPS cc on a confidential basis and will not be made available to third parties unless so authorised by the Client beforehand or if Mc Arthur FPS cc is required to divulge such information in the public interest or under any other law.

The Client must note the following:

- Personal Information provided will be used to enable Mc Arthur FPS cc to provide suitable financial services to the Client as required in terms of FAIS.
- If the Client is acting on behalf of another person, then the Client warrants that he/she has the required authority from the Client to act on behalf of such Client and to provide Mc Arthur FPS cc with the Client's Personal information.

## DISCLOSURE DOCUMENT

· Personal Information may be transferred to third parties to provide suitable financial services to the Client and/or to give effect to the financial transaction entered into by the Client. These Parties may include the following:

o **Product Suppliers** in applicable documentation and application forms to the Client;

o **Services Providers** to whom material aspects of services are outsourced:

§ McArthur FPS CC has a contractual relationship with and is authorised to recommend the investment management, insurance and/or investment products covered in contractual agreements with the following Financial Service Suppliers: PSG Konsult, BoE Personal Stockbrokers, Old Mutual Life, including Old Mutual Wealth, NinetyOne Management Services, Momentum Administrator's, Stanlib, Momentum, Nedbank Group Services – Collective Investments, Investec Management Company, Coronation Fund Managers, RMB-IS, Allan Gray Fund Managers, African Life, Glacier by Sanlam

o **Essential Services Providers** who will have access to Personal Information to oversee compliance and enhance protection of Personal Information of Clients:

§ Compliance: Compli-Serve (SA) (Pty) Ltd and associated companies – as required in terms of FAIS

§ Accounting Officers/Auditors: Swemmer Macinnes & Associates - as required in terms of FAIS

§ Information Technology Service Providers: Atwork

o **Other Third Parties** not indicated above, will be disclosed to the Client upfront in writing in e-mails or documentation to the Client to give the Client and opportunity to consider and consent to it.

o The Client gives **specific consent** to the following (tick applicable):

§ ☐ ☐ Newsletters to the Client's email address

§ ☐ Referral to Mc Arthur FPS cc for wills and estate planning

· The Client warrants that the Personal Information provided is updated, correct and complete and undertakes to inform the Mc Arthur FPS cc timeously of any changes to enable Mc Arthur FPS cc to update it.

· Should the Client want to terminate Mc Arthur FPS cc's services and/or want Mc Arthur FPS cc to delete his/her Personal Information, he/she must inform the Mc Arthur FPS cc in writing and address it to Mc Arthur FPS cc's Information Protection Officer per email to mcarthurfps@global.co.za. Kindly note that Mc Arthur FPS cc may be required in terms of FAIS and FICA legislation to keep the Personal Information for a period of 5 years after termination whereafter it will be destroyed.

· Mc Arthur FPS cc has a Data Protection Policy in place setting out how it deals with Client's Personal Information, which policy can be obtained by contacting Mc Arthur FPS cc's address and contact details on this Disclosure Agreement.

# DISCLOSURE DOCUMENT

## 8. Financial Services and Products:

As an authorised Financial Service Provider, McArthur FPS CC has been licensed by the Financial Services Board, in terms of the FAIS Act, to render advice, intermediary services and Discretionary Financial Services in respect of the following financial products:

Category Description	Advice Automated	Advice Non-automated	Intermediary Scripted	Intermediary Other
CATEGORY I				
Long-Term Insurance subcategory B1		X		X
Long-term insurance subcategory B2		X		X
Long-term Insurance subcategory B2-A		X		X
Long-term Insurance subcategory B1-A		X		X
Structured Deposits		X		X
Long-Term Insurance subcategory C		X		X
Retail Pension Benefits		X		X
Shares		X		X
Money market instruments		X		X
Debentures and securitised debt		X		X
Bonds		X		X
Participatory interests in a collective investment scheme		X		X
Long-term Deposits		X		X
Short-term Deposits		X		X
CATEGORY II - Discretionary FSP				
Long-term Insurance subcategory B1				X
Long-Term Insurance : Category B2-A				X
Long-Term Insurance : Category B1-A				X
Structured Deposits				X
Long-term Insurance subcategory C				X
Retail Pension Benefits				X
Shares				X
Money market instruments				X
Debentures and securitised debt				X
Bonds				X
Participatory interests in one or more collective investment schemes				X
Long-term Deposits				X
Short-term Deposits				X
Long-term insurance subcategory B2				X

## DISCLOSURE DOCUMENT

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McArthur FPS CC is paid for its services on a Financial Advisory, Investment Management and commission basis by the Product Providers. These fees are stipulated in a mandate agreement between you and ourselves. The commissions are statutory. Dependant on the services rendered, an hourly fee of between R750 and R1000 per hour may be levied. Should these charges apply, this will be agreed upon between ourselves.

### 9. Confirmation by yourself

I confirm I have read this document and have received a copy of this notice.

Name: \_\_\_\_\_

ID Number: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

### 10. Confirmation by Key Individual

Signature: \_\_\_\_\_ Date: \_\_\_\_\_