

# FAIS Disclosures

## Orinoco (Pty) Ltd

### (FSP Number: 51913)

Revision	Reviewed By	Approved By
	Compliance Officer	Key Individual

Company Name	Orinoco (Pty) Ltd
Physical Address	Spaces Umhlanga Office 154 1st Floor 2 Ncondo Place Ridgeside Durban, KZN 4320
License Number	51913
Website	<a href="http://finorinoco.com">finorinoco.com</a>

## 1. Company Details

Orinoco Capital (Pty) Ltd (the "Company") is a Private Company duly incorporated in accordance with the laws of the Republic of South Africa, bearing registration number 2021/704761/07. The Company is authorized by the Financial Sector Conduct Authority ("FSCA") to operate as a Financial Services Provider ("FSP") with FSP number 51913 under the Financial Advisory and Intermediary Services Act No. 37 of 2002 ("FAIS Act").

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Physical Address	Spaces Umhlanga Office 154 1st Floor 2 Ncondo Place Ridgeside Durban, KZN 4320
License	51913
Email	<a href="mailto:compliance@finorinoco.com">compliance@finorinoco.com</a>
Website	<a href="http://finorinoco.com">finorinoco.com</a>

## 2. Product Supplier Details

The Company acts as a financial services intermediary services, meaning it helps clients open trading accounts through an online platform, and offers customer support, but does not execute trades. The Company does not act as a market maker, product issuer, or provider of the underlying instruments and operates solely in an intermediary capacity between the client and Octa Markets Incorporated, a company incorporated in Saint Lucia under registration number 2023-00092 (herein referred to as the "Execution Venue").

The Company does not act as the Execution Venue for client trades and does not assume the role of principal or counterparty to any client trades. The Company does not provide discretionary portfolio management, investment advice, or execute trades on behalf of clients.

Name	Octa Markets Incorporated
Physical Address	Ground Floor, Rodney Court Building Gros-Islet Saint Lucia
Business Address	Parcel 132/1, Block 2938B Road Town, VG1110 Wickham's Cay ii, Tortola British Virgin Islands
Business Registration Number	2023-00092

Email	<a href="mailto:support@octabroker.com">support@octabroker.com</a>
Website	<a href="https://www.octabroker.com/">https://www.octabroker.com/</a>

### 3. Key Individual and Representative details

The Company's representatives and key individual meet the fit and proper requirements as prescribed by the FAIS Act and operate under appropriate supervisory procedures in accordance with the FAIS Act and are qualified to assist you in a professional manner.

Name	Bongani Goodenough Mngadi
Authorized Products	Derivative Instruments
Years in the industry	20+

### 4. Financial Services and Products

	Financial Product	Advice - Automated	Advice - Non Automated	Intermediary Services - Scripted	Intermediary Services - All
1.13	Derivative instruments				•

### 5. Compliance Officer and Complaints Handling Manager

Should you have any compliance related and/or complaints against the Company, please refer to the following personnel.

Name	Sipelele Bathandwa Madikizela
Email address	<a href="mailto:complaints@finorinoco.com">complaints@finorinoco.com</a>
Years in the industry	10+

### 6. FAIS Ombuds

If you are not satisfied with the outcome, we will regard the complaint as being unsatisfactorily resolved. In such a case, you may approach the office of the Ombud for Financial Services Providers or take other steps as may be advised by your legal representatives.

Physical Address	Menlyn Central Office Building 125 Dallas Avenue Waterkloof Glen Pretoria
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Postal Box	P O Box 41, Menlyn Park, 0063
Email	<a href="mailto:info@faisombud.co.za">info@faisombud.co.za</a>
Telephone	012 762 5000 or 086 066 3247
Website	<a href="http://www.faisombud.co.za">www.faisombud.co.za</a>

## **7. Conflict of Interest**

In accordance with the Company's Conflicts of Interest Policy, the Company places a high priority on Clients' interests. Conflicts of interest could undermine the integrity and professionalism of the Company and its employees, any potential or recognized instance must be identified as early as possible. If conflict situations cannot be avoided, the FSP will manage equitably and in the client's interest as an integral part of the Company's duties and obligations. The Company maintains an active Conflicts of Interest Policy, which is available on the Company's website.

## **8. Other Disclosures**

- a. The FSP has a suitable Professional Indemnity in place in accordance with FAIS Act.
- b. It is important that you are absolutely sure that the product and transactions meet your needs and that you feel you have all the information you need before making a decision.
- c. The FSP acts solely as an intermediary in terms of the FAIS Act and Section 15 of the FAIS General Code of Conduct, rendering only an intermediary service in relation to the derivative products (CFD's) offered by Octa. The FSP does not make any recommendations, it does not provide guidance or any proposal whatsoever related to financial products to users and/or Clients. The FSP does not perform any study nor does it analyse the user's financial objectives nor investment risk profiles. Users must ensure that they are comfortable with the trading decisions they take and must contact their FAIS approved financial advisor should they require any financial advice.
- d. The FSP does not conduct any market making nor will it be the counterparty to a user's/client's trades.

- e. Waiver of rights: Users/ Clients are hereby advised that no representatives of the FSP or any other person may ask users/clients, or offer any inducement to users/clients, to waive any right or benefit conferred on any user/client, to waive any right or benefit conferred on any user/client by or in terms of any provision of the FAIS Act. Note further that no representative has a right to enter into any contractual obligation on the user's/client's behalf, or to restructure portfolios without the user's/ client's prior written consent.
- f. The Client authorises the FSP to access any relevant information required pertaining to the Client to enable the FSP to adequately provide the necessary intermediary services. Any client information obtained by our representatives shall remain confidential and shall be disclosed to third parties only in accordance with our Privacy Policy.