FAIS Disclosures
Orinoco Capital (Pty) Ltd
(FSP Number: 51913)

Revision	**Reviewed By**	**Approved By**
Rev 1. 01.06.2026	**Compliance Officer**	**Key Individual**

Company name	Orinoco Capital (Pty) Ltd
Physical address	Workshop 17, Hyde Park Corner, Office 219 & 221 2nd Floor, North Tower, 6th Road, Hyde Park, Johannesburg, 2196
Licence number	51913
Website	www.finorinoco.com
Email	complaints@finorinoco.com

1. Company details

1.1. Orinoco Capital (Pty) Ltd (hereinafter referred to as 'Orinoco', 'FSP', 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 authorised 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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2. Product Supplier details

2.1. The Company acts as a financial services intermediary, meaning it helps the 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 (hereinafter referred to as the 'Execution Venue').

2.2. 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.

Company name	Octa Markets Incorporated
Registered office	Ground Floor, Rodney Court Building, Gros-Islet, Saint Lucia PO LC01 401
Office Space	Ground Floor, Rodney Court Building, Gros-Islet, Saint Lucia PO LC01 401
Business registration number	2023-00092
Website	https://www.octatrade.co/
Email	support@octaassist.com

3. Key individual and representative details

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

3.2. Representative name: Christiaan Lourens Botha.

3.3. Authorised products: Derivative Instruments.

3.4. Years in the industry: more than 20 years.

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

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

5.2. Name: Sipelele Madikizela.

5.3. Email address: compliance@finorinoco.com or complaints@finorinoco.com.

5.4. Years in the industry: more than 10 years.

6. FIC Compliance Officer

6.1. Name: Christiaan Lourens Botha

6.2. Email address: compliance@finorinoco.com

6.3. Years in the industry: more than 20 years

7. FAIS Ombud

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

Physical address	Menlyn Central Office Building, 125 Dallas Avenue, Waterkloof Glen, Pretoria, 0010
Postal address	PO Box 41, Menlyn Park, 0063
Website	www.faisombud.co.za
Email	info@faisombud.co.za
Telephone number	012 762 5000 or 086 066 3247

8. Conflict of interest

8.1. In accordance with the Company's Conflicts of Interest Policy, the Company places a high priority on the interests of its Clients. Conflicts of interest could undermine the integrity and professionalism of the Company and its employees. Any potential or recognised conflict must be identified as early as possible. If conflict situations cannot be avoided, the FSP will manage such conflicts fairly, equitably, and in the Client's best interests 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.

9. Other disclosures

9.1. The FSP maintains appropriate Professional Indemnity insurance in accordance with the FAIS Act.

9.2. 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.

9.3. 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 (CFDs) offered by Execution Venue. 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 conduct any assessment 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.

9.4. The FSP does not conduct market-making activities nor will it be the counterparty to a user's or Client's trades.

9.5. Waiver of rights: the Clients are hereby advised that no representatives of the FSP or any other person may ask the Clients, or offer any inducement to the Clients, to waive any right or benefit conferred on a 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 Client's behalf, or to restructure portfolios without the Client's prior written consent.

9.6. The Client authorises the FSP to access any relevant information pertaining to the Client that is required to enable the FSP to 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.

10. Adoption

As Key Individual of Orinoco Capital (Pty) Ltd, I, Christiaan Lourens Botha, hereby confirm the adoption of these FAIS Disclosures Policy.
Date: 1 June 2026