



# UNUM CAPITAL

## FAIS DISCLOSURE DOCUMENT

### A. INTRODUCTION

In terms of the General Code of Conduct of the FAIS Act, **UNUM CAPITAL (PTY) LTD** is required to disclose the information in this document to you. If there is anything in this document that you do not understand, please request further information from us.

### B. INTRODUCTION

UNUM CAPITAL (PTY) LTD, Registration No. 1999/008361/07 (the “**UNUM**”) is an authorised financial services provider, FSP 564.

Company Name	Unum Capital (Pty) Ltd
Registration Number	1999/008361/07
FSP No.	564
FIC reference no.	AI/140224/00017
GIIN No.	HS1I32.00001.ME.710
LEI no.	254900D2E7JOSPDH8Q08
Postal Address	Postnet Suite #233, Private Bag X04, Menlo Park, 0102
Physical Address	Block C, Menlyn Corporate Park, Cnr Garsfontein and Corobay, Waterkloof, Pretoria 0181, South Africa
Legal Status	Private Company
Contact Person	Mark Weetman
E-mail	<a href="mailto:info@unum.co.za">info@unum.co.za</a>
Telephone Number	+27 (0)11 384 2920
Fax Number	0865522178
Website	<a href="http://www.unum.co.za">www.unum.co.za</a>

### C. COMPLIANCE OFFICER

Name	The Compliance Toolbox (Pty) Ltd
Practice number	CO 4073 & 5561
Physical Address	First Floor, Unit 4A, Rock Cottage Office Estate, Cnr Christiaan De Wet and John Vorster Rds, Rand Park Ridge, 2156
Contact Person	Charmaine van Wyk
E-mail	<a href="mailto:charmaine@ctb.co.za">charmaine@ctb.co.za</a>
Telephone Number	+27 11 795 3900



## D. FINANCIAL SERVICES AND PRODUCTS

Category	Advice	Intermediary
<b>CATEGORY I</b>		
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
Long-Term Insurance subcategory C	X	X
Retail Pension Benefits	X	X
Pension Funds Benefits	X	X
Shares	X	X
Money market instruments	X	X
Debentures and securitised debt	X	X
Warrants, certificates and other instruments	X	X
Bonds	X	X
Derivative instruments	X	X
Participatory interests in a collective investment scheme	X	X
Forex investment	X	X
Long-term Deposits	X	X
Short-term Deposits	X	X
<b>CATEGORY II - Discretionary FSP</b>		
Long-term Insurance subcategory B1		X
Long-Term Insurance : Category B2-A		X
Long-Term Insurance : Category B1-A		X
Long-term Insurance subcategory C		X
Retail Pension Benefits		X
Pension Funds Benefits		X
Shares		X
Money market instruments		X
Debentures and securitised debt		X
Warrants, certificates and other instruments		X
Bonds		X
Derivative instruments		X
Participatory interests in one or more collective investment schemes		X
Forex investment		X
Long-term Deposits		X
Short-term Deposits		X
Long-term insurance subcategory B2		X
<b>CATEGORY 2A</b>		
General Category IIA experience		X



#### **E. INDEMNITY COVER**

Unum is insured under a Bankers Blanket Bond and Professional Indemnity cover.

#### **F. FINANCIAL INTELLIGENCE CENTER ACT (FICA)**

In terms of FICA, Unum is an accountable institution.

Our Risk Management and Compliance Programme requires that we perform a Client Due Diligence, whereby we are required to identify our prospective clients, verify the given information and keep records of the verifying documents.

#### **G. CONFLICT OF INTEREST MANGEMENT POLICY**

Unum 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 the website of Unum

#### **H. COMPLAINTS**

Unum has a formal Complaints Policy & Process which is published on the website of Unum