



Doto South Africa (PTY) LTD

Registered Address: Atrium on 5th, 5th Street Sandhurst,
Johannesburg, Gauteng, 2196

FAIS Disclosure and Transparency Document

Doto South Africa (PTY) LTD

Licensed and regulated by the Financial Services Conduct Authority of South Africa (FSCA)

FSP Number: 50451 | **Email:** support-za@doto.com

Doto South Africa (PTY) LTD acts solely as an intermediary in terms of the FAIS Act, rendering only an intermediary service (no market making) in relation to derivative products (CFD's) offered by Doto Global LTD.

Name:	Doto South Africa (Pty) Ltd
Physical Address:	Atrium on 5th, 5th Street Sandhurst, Johannesburg, Gauteng, 2196
License Number:	FSP50451
Website:	www.doto.com/za
Email:	support-za@doto.com

1. Legal Status

A. Company's registration and license

Doto South Africa (PTY) LTD (the "FSP" or "we"/ "our") is a private limited liability company registered in the Republic of South Africa under registration number 2019/047686/07 and is authorised by the Financial Services Conduct Authority (the "FSCA") to operate as a Financial Service Provider under license number 50451. By virtue of its license as a Financial Services Provider in terms of the Financial Advisory and Intermediary Services Act, 37 of 2002 as may be amended from time to time (FAIS Act), the FSP accepts responsibility for the actions of its directors, employees, and sub-contractors (the "Representatives"). Our Representatives either meet the fit and proper requirements as prescribed by FAIS Act or pursue their actions under appropriate supervision in accordance with FAIS Act, and are qualified to assist you in a professional manner.

A copy of our FSCA license for inspection at the FSP's place of business.

B. Intermediary - Principal Relationship

Doto South Africa (Pty) LTD acts as an intermediary/ direct marketer in terms of the FAIS Act, rendering only an intermediary service in relation to derivative products (CFDs) for **Doto Global LTD (the "Product Supplier")**. Doto Global LTD is authorised to operate as an Investment Dealer by the Financial Services Commission ("FSC") of Mauritius under license number C119023978. As such, Doto Global LTD is the (only) entity which a Client may establish a principal relationship with. The FSP acknowledges that it does not hold, either directly or indirectly, more than 10% of the shares issued by the Product Supplier or an equivalent financial interest. However, the FSP and the Product Supplier are affiliated entities by virtue of having the same shareholders.

2. Details of Key Individuals

Key Individuals

Name	Authorised Products
Christiaan Botha	As per table 1, section 6 below
Sebaga Pearl Manyeula	As per table 1, section 6 below

The FSP confirms that its key individual(s) and representative(s) are mandated and entitled to render solely intermediary services in terms of the FAIS Act. The Key individuals and

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Representatives are full time employees of the FSP.

The key individual(s) and representative(s) are not remunerated by the Product Supplier and hereby submit that they did not earn more than 30% of the preceding year's commission or remuneration from the Product Supplier.

3. Complaint Handling and Compliance Queries

Compliance Officer

If you have a complaint or a compliance related query, please do not hesitate to contact our Compliance Officer:

Name:	Ms Ruby MOSIME
FAIS Compliance Officer Registration No.:	CO 6916
Company:	MOSIME CONSULT (PTY) LTD
Physical Address:	133, Bellairs Drive, Northriding
Telephone:	(+27) 842902833
Email:	ruby@mosimeconsult.co.za

4. FAIS Ombud

Please note that prior to submitting a complaint with the FAIS Ombud (details below), please consider contacting us at support-za@doto.com or contacting our Compliance Officer. The GSP welcomes any queries or constructive feedback regarding any dissatisfaction you may have and would gladly assist you and proactively resolve any concerns you may have.

Nevertheless, should a complaint not be resolved to your satisfaction, you may forward such complaint to the Office of the FAIS Ombud for Financial Services Providers:

Physical Address:	125 Dallas Avenue Menlyn Central, Waterkloof Glen, Pretoria 0010 Pretoria 0081
Postal Address:	PO Box 74571, Lynwood Ridge, 0040
Telephone:	012 762 5000 / 012 470 9080
Email:	info@faisombud.co.za

Please note that, if you wish to lodge a complaint with the FAIS Ombud against the FSP or our representatives, you will need to show that you have already attempted to resolve the matter directly with the FSP first.

5. Other Matters of Importance

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- (i) In terms of the Financial Intelligence Centre Act, 2001, the FSP is obliged to report any suspicious and unusual transactions that may facilitate money laundering.
- (ii) 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.
- (iii) The FSP has a suitable Professional Indemnity in place in accordance with FAIS Act.
- (iv) The FSP acts solely as an intermediary/direct marketer 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 Doto Global LTD. 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.
- (v) The FSP does not conduct any market making nor will it be the counterparty to a user's/client's trades.
- (vi) 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.
- (vii) The Client¹ 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 as this can be found under Legal Documents on the website doto.com/za.

6. Financial Services and Products

As a licensed Financial Services Provider, the FSP has a Category I issued by the Financial Sector Conduct Authority in terms of FAIS Act, to provide intermediary services in respect of the following financial products:

TABLE 1

	Financial Product	Advice	Intermediary Service	Supervision
	CATEGORY I			
1.13	Derivative Instruments excluding warrants	NO	YES	NO

7. Conflicts of Interest

¹ "Client(s)" mean individuals or legal entities having a direct agreement with the Product Supplier and who have been introduced by the FSP and/or are provided intermediary services by the FSP.



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In accordance with the FSP's Conflicts of Interest Policy, the FSP places a high priority on Clients' interests. As conflicts of interest could undermine the integrity and professionalism of the FSP and its employees, any potential or recognized instance must be identified as early as possible. Potential conflicts of interest are inherent in any business and therefore it is not the aim of the FSP to avoid all conflicts. If conflict situations cannot be avoided, the FSP will manage equitably and in the client's interest as an integral part of the FSP's duties and obligations. The FSP maintains an active Conflicts of Interest Policy, which is available on the FSP's website www.doto.com/za under the "Legal Documents" section.

Version: August 2024

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