

**FRANZSEN
VAN REENEN**
WEALTH ADVISORY



DISCLOSURE DOCUMENT

Franzsen & van Reenen Wealth Advisory (Proprietary) Limited

(Registration Number 2018/360159/07)

FSP NUMBER 51972

INTRODUCTION

In terms of Part IV of the General Code of Conduct for Authorised Financial Services Providers and Representatives, financial service providers are required to disclose certain information to clients.

As a client of Franzsen & Van Reenen Wealth Advisory (Pty) Ltd (“the FSP”), please read through this document carefully. Should anything in this document be unclear, please request further information.

You are entitled to a copy of this document for your records.

Please sign the acknowledgement that you have read and understood the contents hereof at the end of this document.

AUTHORISED FINANCIAL SERVICES PROVIDER

The FSP is an authorised financial services provider in terms of Section 8 of the Financial Advisory and Intermediary Services Act (“FAIS”) and is regulated by the Financial Sector Conduct Authority (“FSCA”). A copy of the FSP license certificate is available upon request.

The business particulars of the FSP are listed below:

REGISTRATION NUMBER:	2018/360159/07
FSP NUMBER:	51972
REGISTERED ADDRESS:	Trident Park 1, 1 Niblick Way, Somerset West, 7130
POSTAL ADDRESS:	Postnet Suite 408, Private Bag x 15, Somerset West, 7129
OPERATING ADDRESS:	17 Fraser Street, Somerset West, 7130
CONTACT PERSON:	Schalk van Reenen
TELEPHONE NUMBER:	083 445 8220
E-MAIL:	info@fvr-advisory.com
WEBSITE:	www.fvr-advisory.com

FINANCIAL SERVICES AND PRODUCTS

The FSCA has duly authorised the FSP to render financial services in respect of the following financial products:

DESCRIPTION OF FINANCIAL PRODUCT	ADVICE NON-AUTOMATED	INTERMEDIARY OTHER
CATEGORY I		
Long-term insurance subcategory B2	X	X
Structured Deposits	X	X
Securities and Instruments	X	X
Participatory interest in a hedge fund	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
Bonds	X	X
Participatory interests in a collective investments scheme	X	X
Long-term Deposits	X	X
Short-term Deposits	X	X
CATEGORY II - DISCRETIONARY FSP		
Structured Deposits		X
Securities and instruments		X
Participatory interest in a hedge fund		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
Bonds		X
Participatory interest in one or more collective investments schemes		X
Long-term Deposits		X
Short-term Deposits		X
Long-term insurance subcategory B2		X

AUTHORISED KEY INDIVIDUAL(S) AND REPRESENTATIVE(S)

The FSCA has duly authorised the following key individuals to manage and oversee the following classes of business for the FSP.

FULL NAME	CATEGORY OF LICENCE	CLASS OF BUSINESS
Hendrik Engenatius Franzsen	Category I Category II	Long-Term Insurance Pension Fund Benefit Short-Term and Long-Term Deposits Investments Structured Deposits
Schalk Willem Van Reenen	Category I Category II	Long-Term Insurance Pension Fund Benefit Short-Term and Long-Term Deposits Investments Structured Deposits

The FSP has duly authorised the following representative to render financial services on its behalf and accepts responsibility for the activities of the representative performed within the scope of the financial products listed below:

Schalk Willem van Reenen

DESCRIPTION OF FINANCIAL PRODUCT	ADVICE NON-AUTOMATED	INTERMEDIARY OTHER	SERVICES UNDER SUPERVISION
CATEGORY I			
Long-term insurance subcategory B2	X	X	
Structured Deposits	X	X	
Securities and Instruments	X	X	
Participatory interest in a hedge fund	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	
Bonds	X	X	
Participatory interests in a collective investments scheme	X	X	
Long-term Deposits	X	X	
Short-term Deposits	X	X	

CATEGORY II - DISCRETIONARY FSP			
Structured Deposits		X	
Securities and instruments		X	
Participatory interest in a hedge fund		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	
Bonds		X	
Participatory interest in one or more collective investments schemes		X	
Long-term Deposits		X	
Short-term Deposits		X	

DETAILS OF PRODUCT SUPPLIER(S)

The FSP utilises the product(s) of product suppliers as set out in the table below.

Allan Gray	Ashburton Investor Platform
Ashburton Jersey Limited	Ashburton Management Company
FNB Stockbroking and Portfolio Management	Glacier
Glacier International	Momentum
Momentum Wealth International	Ninety One
Polar Star	RealFin
Westbrooke	

The FSP does not hold more than 10% of the shares of any product supplier or has any substantial financial interest in a product supplier.

The FSP did not receive more than 30% of total remuneration, including commission, from any product supplier in the preceding 12 months.

Refer to Annexure A for detailed product supplier information.

CONFLICT OF INTEREST MANAGEMENT POLICY

The FSP has adopted and implemented a conflict of interest management policy. The conflict of interest management policy can be obtained from www.fvr-advisory.com.

INDEMNITY COVER

The FSP has professional indemnity insurance in place.

COMPLIANCE OFFICER

EXTERNAL COMPLIANCE PROVIDER	Independent Compliance Services (Pty) Ltd
PRACTICE NUMBER:	1258
PHYSICAL ADDRESS:	Office 9, Heritage Square, Cnr Gladstone & Vrede Streets, Durbanville, 7551
CONTACT PERSON:	James Smalberger
TELEPHONE NUMBER:	021 975 6597
E-MAIL:	james@complianceservices.co.za
WEBSITE:	www.complianceservices.co.za

COMPLAINTS

Should you wish to pursue a complaint against the key individual or a representative of the FSP, the complaint should be addressed to the following person in writing and contain sufficient details in respect of the complaint:

CONTACT PERSON:	Hennie Franzsen or Schalk van Reenen
E-MAIL:	hfranzsen@fvr-advisory.com or svanreenen@fvr-advisory.com

If the complaint cannot be settled satisfactorily with the FSP, the complaint may then be referred to the office of the FAIS Ombud.

The Ombud was created to provide members of the public with a further redress mechanism.

TELEPHONE NUMBER:	086 066 3247/ 012 762 5000 / 012 492 9711
E-MAIL:	info@faisombud.co.za
WEBSITE:	www.faisombud.co.za

FINANCIAL INTELLIGENCE CENTRE ACT (“FICA”)

In terms of FICA the FSP is registered as an accountable institution. The FSP follows a risk-based approach to money laundering and related activities. By following this approach the FSP is required to identify all prospective clients and verify their given information, as well as keep records in respect thereof.

Application of a risk-based approach implies that the FSP can accurately assess the risks involved with a business relationship and to apply the appropriate methods and levels of client verification.

The FSP must and will report any suspicious and unusual transactions that may facilitate any money laundering to the relevant authorities.

DISCLAIMER

Investors should take cognisance of the fact that there are risks involved when buying, selling or investing in any financial product. The value of financial products can increase as well as decrease over time, depending on the value of the underlying securities and market conditions.

Past returns may not be indicative of future returns and an investor should seek independent professional financial, legal and tax advice relevant to their individual circumstances before making any investment decision.

CLIENT ACKNOWLEDGMENT

I _____ the undersigned, hereby acknowledge receipt of this Disclosure Document and have read and understood the contents thereof.

Signed at _____ on this _____ day of _____ 2024.

Signature

ANNEXURE A

NAME OF PRODUCT SUPPLIER	ADDRESS	CONTACT PERSON & CONTACT DETAILS	CONTRACTUAL RELATIONSHIP WITH PRODUCT SUPPLIER	CONTACT DETAILS OF COMPLIANCE DEPARTMENT	CONDITIONS OR RESTRICTIONS IMPOSED BY PRODUCT SUPPLIER WITH REGARD TO TYPES OF FINANCIAL PRODUCTS OR SERVICES THAT MAY BE PROVIDED OR RENDERED BY THE FSP
Allan Gray	1 Silo Square V&A Waterfront Cape Town	Zuki Madikane Zuki.Madikane@allangray.co.za	Yes	info@allangray.co.za or 0860 000 654	Not applicable
Ashburton Investor Platform	6 Merchant Place 9 Fredman Drive Sandton 2196	Wilmare Van Wyk Wilmare.vanwyk@ashburton.co.za	Yes	Nombulelo Seeco 011 685 5573 nombulelo.seeco@ashburton.co.za	Not applicable
Ashburton Jersey Limited	Ashburton (Jersey) Limited PO Box 239 The Esplanade St Helier Jersey JE4 8SJ	Brett Coombs-Goodfellow brett.coombs-goodfellow@ashburton.com	Yes	Sinead Allen sinead.allen@ashburton.com	Not applicable
Ashburton Management Company	6 Merchant Place 9 Fredman Drive Sandton 2196	Wilmare Van Wyk Wilmare.vanwyk@ashburton.co.za	Yes	Nombulelo Seeco 011 685 5573 nombulelo.seeco@ashburton.co.za	Not applicable

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FNB Stockbroking and Portfolio Management	6 Merchant Place 9 Fredman Drive Sandton 2196	Kamilla Amlay 087 3356 533	Yes	Fallon Coetzee 087 736 9527 fallon.coetzee@fnb.co.za	Not applicable
Glacier	Glacier Place 1 Sportica Crescent Tygervally 7530	Susan Marais Susan.marais@glacier.co.za	Yes	Clientservices@glacier.co.za or 021 917 9002	Not applicable
Glacier International	Glacier Place 1 Sportica Crescent Tygervally 7530	Abigail Kitshoff Abigail.kitshoff@glacierinternational.co.za	Yes	+27 21 917 9333	Not applicable

NAME OF PRODUCT SUPPLIER	ADDRESS	CONTACT PERSON & CONTACT DETAILS	CONTRACTUAL RELATIONSHIP WITH PRODUCT SUPPLIER	CONTACT DETAILS OF COMPLIANCE DEPARTMENT	CONDITIONS OR RESTRICTIONS IMPOSED BY PRODUCT SUPPLIER WITH REGARD TO TYPES OF FINANCIAL PRODUCTS OR SERVICES THAT MAY BE PROVIDED OR RENDERED BY THE FSP
Momentum	268 West Avenue Centurion 0157	Maureen Schlebusch maureen.schlebusch@momentum.co.za	Yes	WealthService@momentum.co.za or 0860 546 533	Not applicable
Momentum Wealth International	La Plaiderie House St Peter Port Guernsey GY1 1WF	Maureen Schlebusch maureen.schlebusch@momentum.co.za	Yes	client.services@momentum.co.gg or 0860 444 433	Not applicable
Ninety One	Merchant House 19 Dock Road V&A Waterfront Cape Town 8001	JP Boje +27 72 093 1081	Yes	clientservice@ninetyone.com or +27 (011) 508 3801	Not applicable

NAME OF PRODUCT SUPPLIER	ADDRESS	CONTACT PERSON & CONTACT DETAILS	CONTRACTUAL RELATIONSHIP WITH PRODUCT SUPPLIER	CONTACT DETAILS OF COMPLIANCE DEPARTMENT	CONDITIONS OR RESTRICTIONS IMPOSED BY PRODUCT SUPPLIER WITH REGARD TO TYPES OF FINANCIAL PRODUCTS OR SERVICES THAT MAY BE PROVIDED OR RENDERED BY THE FSP
Polar Star	4th Floor 90 North Church Street Grand Cayman Cayman Islands KY1-1003	Allanah Scott-Bowles allannah@polarstarfunds.com	Yes	info@polarstar.com	Not applicable
RealFin	347 Main Road Kenilworth Cape Town	Marzanne Swanepoel mewanepoel@realfin.co.za	Yes	clientservices@realfin.co.za or +27 (021) 701 3777	Not applicable
Westbrooke	<i>Westbrooke House</i> 32 Impala Road Chislehurst 2196	Megan Lee megan@westbrooke.com	Yes	info@westbrooke.com or (011) 245 0860	Not applicable