

**DISCLOSURES REQUIRED IN TERMS OF THE FINANCIAL ADVISORY AND INTERMEDIARY SERVICES  
ACT 37 OF 2002**

**FINANCIAL SERVICES PROVIDER**

Citigroup Global Markets (Pty) Ltd is licensed by the Financial Services Conduct Authority in terms of the Financial Advisory and Intermediary Services Act 37 of 2002 ("the Act") to render advisory and intermediary services in respect of the classes of financial products provided by Citigroup Global Markets (Pty) Ltd.

**ADDRESS DETAILS**

**Physical Address**

145 West Street, Sandown, Sandton 2196

**Postal Address**

P.O. Box 1800, Saxonwold 2132

**CONTACT DETAILS**

**Telephone No:** 011 944 1000

**Website:** <https://www.citigroup.com/citi/about/countries-and-jurisdictions/south-africa/>

**KEY INDIVIDUALS**

Marco Efstathiou

Co-Head of Equities

[Marco.Efstathiou@citi.com](mailto:Marco.Efstathiou@citi.com)

Laurence Stoppelman

Citi Private Bank

[Laurence.Stoppelman@citi.com](mailto:Laurence.Stoppelman@citi.com)

**REPRESENTATIVES**

Citigroup Global Markets (Pty) Ltd accepts responsibility for the actions of its representatives acting within their mandate in the rendering of financial advisory and/or intermediary services as defined by the Act, and carries professional indemnity insurance.

**AUTHORISATION**

Citigroup Global Markets (Pty) Ltd is authorised to give advice and/or render intermediary services in respect of the following Category 1 financial products:

- Shares
- Money market instruments
- Warrants, certificates and other instruments
- Bonds
- Derivative instruments
- Participatory interests in a collective investment scheme
- Long-Term Deposits
- Short-Term Deposits

## COMPLAINTS

If at any time you do have a complaint, please do not hesitate to contact the Citi Service Department who will be able to assist you and provide you with the full details of the complaints handling process, if so required.

Please note that in terms of the Act, all complaints must be addressed to us in writing and may be handed in of our branch offices.

Contact details are:

**Tel:** (011) 944 1000

**Email:** [Complaints.SouthAfrica@citi.com](mailto:Complaints.SouthAfrica@citi.com)

Should the complaint not be resolved to your satisfaction, you may forward such complaint to the Office of the Ombud for Financial Service Providers. The contact details are as follows:

**Email:** [info@faisombud.co.za](mailto:info@faisombud.co.za)

**Physical Address:** FAIS Ombud  
Kasteel Park Office Park,  
Orange Building, 2nd Floor,  
546 Jochemus Street,  
Erasmus Kloof,  
Pretoria, 0048

**Postal Address:** P.O. Box 74571, Lynwood Ridge, 0040

**Phone Number:** +27 12 762 5000 / +27 86 066 3247

## CONFLICTS OF INTEREST

Citigroup Global Markets (Pty) Ltd is bound by the provisions of the General Code of Conduct for Authorised Financial Services Providers and their Representatives, 2003 (as amended) ("the Code"). The Code requires Citigroup Global Markets (Pty) Ltd to adopt, implement and maintain a conflicts of interest management policy that complies with the requirements of the Code ("a Conflicts Policy").

In compliance with the Code, Citigroup Global Markets (Pty) has adopted a Conflicts Policy that details the manner in which Citigroup Global Markets (Pty) Ltd shall avoid conflicts of interests in its dealings with (or relevant to) its clients or, under circumstances where avoidance is not possible, the manner in which Citigroup Global Markets (Pty) Ltd shall identify, manage and mitigate such conflicts of interest. The Conflicts Policy further provides for Citigroup Global Markets (Pty) Ltd.'s duty to disclose to its client the existence of a conflict of interest which is or may be relevant to such client.

The Conflicts Policy is available for inspection on client request for a copy of the Conflicts Policy.

## COMPLIANCE OFFICER

**Lindsay Scholtz**

Head of Compliance

Telephone: 011 944 0226

Email: [Lindsay.Scholtz@citi.com](mailto:Lindsay.Scholtz@citi.com)