

## INTERMEDIARY DISCLOSURE NOTICE FOR GUARANTEE PLACINGS (Pty) Ltd

In Compliance with the Code of Conduct, which forms part of the Financial Advisory and Intermediary Services Act, the following is a mandatory disclosure about Guarantee Placings (Pty) Ltd.

**Name:** Guarantee Placings (Pty) Ltd (CK 1993/007301/07)

**Members:** See below on letterhead

**Contact Details:** See below on letterhead

**FAIS Compliance:** Authorised Financial Services Provider (FSP No.12628)

**Compliance Officer:** Robert J. Stutterheim Consulting Tel (012) 661 1359

- We have a contract with the following insurers & underwriting managers with whom we deal, to act as insurance brokers: Hollard, Santam, OMinsure, Zurich, Regent, Associated Marine, Scintilla, Marabilis, MUA, Easysure, Commercial & Industrial Acceptances, Beyonda, Leppard Underwriters, Lombard Insurance, SHA, Thatch Risk Acceptances, Cross Country, Garagesure, Chartis, I.Com, HIC, B&B Sure, Risk Guard Alliance.
- The brokerage receives remuneration in the form of commission and fees direct from the insurers.
- More than 30% of our commission in the last calendar year was received from Hollard and Santam.
- Guarantee Placings does not directly or indirectly hold more than 10% of the relevant product supplier's shares, or has any equivalent substantial financial interest in the product supplier.
- Commission payable to our brokerage, are shown on quotations and or policy schedule.
- We are in possession of Professional Indemnity Insurance through New National Assurance Pty Ltd.
- Should you have a claim against your policy, please contact our offices directly as soon as possible.
- In the event that you are dissatisfied with any aspect of our service, you should address your complaint in writing to us at the above address. Copy of our Complaints Policy is available on request.
- We will not divulge any confidential information acquired from clients without obtaining your written consent, beforehand.
- We are also members of the Financial Intermediaries Association (FIA).

## OUR COMMITMENT

To conduct our business in good faith and with integrity;

To honor the confidentiality of all information communicated to, or obtained by the member;

Where business entails the assessment or acceptance of any risk by an underwriter, to obtain all material information from the client and to communicate the same to the underwriter;

To render service or advice only in connection with matters or products about which the member is informed and knowledgeable;

If any complaint to Guarantee Placings or your product supplier is not resolved to your satisfaction, you may submit your complaint to the F.A.I.S. Ombudsman;

You must ensure that all details contained in any documentation signed by yourself have been correctly completed in full;

Guarantee Placings has a legal responsibility to report any suspicious or unusual transactions to the Financial Intelligence Centre, in terms of FICA.