

# FAIS DISCLOSURE

## Maono Global Markets (Pty) Ltd

### 1. DEFINITIONS AND INTERPRETATION

#### 1.1. Definitions

In this FAIS Disclosure, unless the context indicates otherwise, the following terms shall have the meanings set out below:

- 1.1.1. **“Agreement” or “Client Agreement”** means the written client agreement and/or account terms and conditions concluded between the Client and RocketX (Pty) Ltd, as amended, updated, or replaced from time to time, which govern the Client’s trading account and all Transactions entered into with RocketX (Pty) Ltd.
- 1.1.2. **“Authorised Financial Services Provider” or “FSP”** means a person or entity authorised in terms of the Financial Advisory and Intermediary Services Act, 37 of 2002 (“FAIS Act”) to furnish advice and/or render intermediary services in respect of financial products, and includes Sithundhi Group (Pty) Ltd as the holder of FSP No. 52030, and any reference to “FSP” in this document shall be construed accordingly.
- 1.1.3. **“Authorised Juristic Representative” or “Juristic Representative”** means a juristic person that is mandated by an authorised FSP, in terms of section 13 of the FAIS Act, to render financial services on behalf of that FSP under its licence, and includes Maono Global Markets (Pty) Ltd in its capacity as a juristic representative of Sithundhi Group (Pty) Ltd.
- 1.1.4. **“Business Day”** means any day other than a Saturday, Sunday, or official public holiday in the Republic of South Africa, on which banks are open for general business.
- 1.1.5. **“Client” or “you”** means any natural or juristic person who makes use of the platform operated by Maono Global Markets (Pty) Ltd and/or who enters into the Client Agreement with RocketX (Pty) Ltd and trades or seeks to trade any Derivative Instrument through such platform.
- 1.1.6. **“Client Information”** means any information relating to a Client, including personal information as defined in the Protection of Personal Information Act, 4 of 2013 (“POPIA”), and any financial, transactional, or account-related information obtained or generated in the



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course of the Client's relationship with Maono Global Markets (Pty) Ltd, Sithundhi Group (Pty) Ltd, and/or RocketX (Pty) Ltd.

- 1.1.7. **"Contract for Difference" or "CFD"** means a form of over-the-counter Derivative Instrument where the profit or loss is determined by the difference between the price at which a position in the underlying reference asset is opened and the price at which it is closed, settled in cash on a net basis, without any physical delivery of the underlying asset.
- 1.1.8. **"Derivative Instrument" or "Derivative"** means a financial product as contemplated in the Financial Markets Act, 19 of 2012 and/or the FAIS Act, the value of which is derived from or depends on an underlying asset, rate, index, instrument, or benchmark, and includes Contracts for Difference and any other over-the-counter derivative products made available for trading via the platform.
- 1.1.9. **"Discretionary Authority"** means any written mandate, power or authority in terms of which a person is authorised to act on behalf of a Client in the rendering of financial services, including but not limited to placing or closing Transactions, and which is subject to the requirements of the FAIS Act and applicable subordinate legislation.
- 1.1.10. **"FAIS Act"** means the Financial Advisory and Intermediary Services Act, 37 of 2002, as amended, including any regulations, Board Notices, General Codes and other subordinate legislation issued in terms thereof.
- 1.1.11. **"FSCA"** means the Financial Sector Conduct Authority of South Africa, being the market conduct regulator established in terms of the Financial Sector Regulation Act, 9 of 2017, or any successor regulatory authority.
- 1.1.12. **"Financial Product"** means a financial product as defined in the FAIS Act, which includes, but is not limited to, shares, money market instruments, debentures and securitised debt, warrants, certificates and other instruments, bonds, Derivative Instruments, long-term and short-term deposits, and long-term insurance products.
- 1.1.13. **"Financial Service"** means "advice" and/or "intermediary service" as defined in the FAIS Act, rendered by Sithundhi Group (Pty) Ltd and/or its Juristic Representative, Maono Global Markets (Pty) Ltd, in relation to one or more Financial Products.
- 1.1.14. **"Intermediary Service"** means an intermediary service as contemplated in the FAIS Act, including, without limitation, the receipt, submission, transmission, or execution of instructions on behalf of a Client, the administration of Financial Products, or any act performed with a view to the buying, selling, or otherwise dealing in, managing, or administering Financial Products.



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1.1.15. **“Maono Global Markets (Pty) Ltd” or “Maono”** means Maono Global Markets (Pty) Ltd, registration number 2023/599736/07, a company incorporated in accordance with the laws of the Republic of South Africa, authorised as a Juristic Representative of Sithundhi Group (Pty) Ltd, and which operates the trading platform used by Clients to access and trade Derivative Instruments issued by RocketX (Pty) Ltd.

1.1.16. **“ODP” or “Over-the-Counter Derivatives Provider”** means a person authorised as such in terms of the Financial Markets Act, 19 of 2012, to enter into and originate over-the-counter Derivative transactions as principal, and includes RocketX (Pty) Ltd in its capacity as a licensed Over-the-Counter Derivatives Provider and counterparty to Transactions concluded with Clients.

1.1.17. **“Platform”** means the electronic trading system, website, mobile application, and/or any related interfaces or channels made available by Maono Global Markets (Pty) Ltd through which Clients may place orders, monitor positions, and trade Derivative Instruments issued by RocketX (Pty) Ltd.

1.1.18. **“RocketX (Pty) Ltd” or “RocketX”** means RocketX (Pty) Ltd, registration number 2020/824856/07, a company incorporated in accordance with the laws of the Republic of South Africa, licensed as a Financial Services Provider and as an Over-the-Counter Derivatives Provider with FSP Number 52142, and acting as principal and contractual counterparty to the Client in respect of all Derivative Instruments traded under the Client Agreement.

1.1.19. **“Suitability”** means the appropriateness of a Financial Product or service for a particular Client, having regard to that Client’s financial situation, investment objectives, risk tolerance, knowledge and experience in relation to Derivative trading, and any other relevant circumstances considered in accordance with applicable law and internal policies.

1.1.20. **“Transaction”** means any order, trade, deal, contract, instruction, or arrangement entered into or executed by or on behalf of the Client via the Platform, resulting in the opening, modification, or closing of a position in a Derivative Instrument or any related cash flow.

1.1.21. **“Website”** means the official website(s) operated by Maono Global Markets (Pty) Ltd and/or RocketX (Pty) Ltd, including any sub-domains, through which information and access to the Platform and related services are provided.

## 1.2. **Interpretation**

1.2.1. References to one gender shall include the other genders, and references to the singular shall include the plural and vice versa, unless the context otherwise requires.



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- 1.2.2. References to a “person” include a natural person, juristic person, body corporate, partnership, trust, unincorporated association, or any other legal entity or organisation capable of being recognised at law.
- 1.2.3. Any reference to a statute, regulation, Board Notice, Code or other legislative instrument shall be deemed to include a reference to any amendment, re-enactment, consolidation or replacement thereof from time to time.
- 1.2.4. The headings in this FAIS Disclosure are for convenience only and shall not affect the interpretation of any provision.
- 1.2.5. If any definition is a substantive provision conferring rights or imposing obligations on any party, effect shall be given to that provision as if it were a substantive clause of this FAIS Disclosure.
- 1.2.6. In the event of any conflict or inconsistency between this FAIS Disclosure and the Client Agreement, the Client Agreement shall prevail in respect of the contractual relationship and trading terms between the Client and RocketX (Pty) Ltd, while this FAIS Disclosure shall prevail in respect of disclosures required in terms of applicable financial-sector laws and regulations.

## 2. DISCLAIMER:

- 2.1. Maono Global Markets (Pty) Ltd with company registration number: 2023/599736/07 is an authorised Juristic Representative of Sithundhi Group (Pty) Ltd, South Africa, with company number: 2021/817017/07, an authorised financial services provider, licensed and regulated by the Financial Sector Conduct Authority (FSCA) of South Africa, with FSP No. 52030.
- 2.2. Maono Global Markets (Pty) Ltd, an authorised Juristic Representative of Sithundhi Group (Pty) Ltd, is the platform that Clients use to trade derivatives that are issued by RocketX (Pty) Ltd, registration number 2020/824856/07, a company registered under the laws of South Africa. RocketX (Pty) Ltd a licensed and regulated Financial Services Provider (FSP) and Over the Counter Derivatives Provider (ODP) with FSP Number: 52142 whose registered office is at Flexisuites, 141 Corobay Avenue, Menlyn, Gauteng 0181 is the counterparty and principal to the contract for difference purchased by you (the Client).
- 2.3. By using our services, you agree to be bound by the Client Agreement, which is entered into and binding between you (the Client) and RocketX (Pty) Ltd

### Contact Details

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### Registered & Physical Address

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## 3. INFORMATION ON FINANCIAL SERVICES PROVIDER AND JURISTIC REPRESENTATIVE

FSP Name	Sithundhi Group (Pty) Ltd
FSP Number	FSP No. 52030
Company Registration Number	2021 / 817017 / 07
Juristic Representative Name	Maono Global Markets (Pty) Ltd
Company Registration Number	2023/599736/07
POSTAL ADDRESS	Unit 3B Waterside Place 19 Carl Cronje Drive Tyger Waterfront Western Cape 7530
PHYSICAL ADDRESS	Unit 3B Waterside Place 19 Carl Cronje Drive Tyger Waterfront Western Cape 7530
Contact Number	021 207 2838
E-mail Address	<a href="mailto:compliance@maonoglobalmarkets.com">compliance@maonoglobalmarkets.com</a>

## 4. INFORMATION ON OVER-THE-COUNTER DERIVATIVES PROVIDER

Over-the-Counter Derivatives Provider (ODP)	RocketX (Pty) Ltd
Physical and Postal Address	Flexisuites, 141 Corobay Ave, Menlyn, 0181
Contact Details	<a href="mailto:support@rocketx.io">support@rocketx.io</a>
Compliance Contact Details	<a href="mailto:support@rocketx.io">support@rocketx.io</a>

## 5. FINANCIAL SERVICES

Sithundhi Group (Pty) Ltd is an authorised **Category 1 FSP** and is authorised to provide intermediary services in terms of the following financial products:

### PRODUCT

Long-Term Insurance Subcategory A	X
Shares	X
Money Market Instruments	X
Debentures and Securitised Debt	X
Warrants, Certificates and Other Instruments	X
Bonds	X

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Derivative Instruments	X
Long-Term Deposits	X
Short-term Deposits	X
Friendly Society Benefits	X