Statutory FAIS Disclosure

Crypto Assets

1. INTRODUCTION & DISCLOSURE

Version 1 – December 2024

In compliance with FAIS legislation, HODL OTC has been an authorized intermediary service provider under the FSCA since 2024 in the Crypto Asset sector. We are authorized to offer intermediary services in the specified product categories and subcategories.

About HODL OTC	
Name	HODL OTC (Pty) Ltd
Company registration number	2020/773128/07
FSP number	53723
Physical address	Unit G06 Ground Floor Building 29 Marloth 29Marloth Street, Nelspruit, Mpumalanga, 1201
Telephone number	087 238 5922
Email	info@hodlotc.com
Key Individual & Information Officer	Cindy Serfontein – cindy@hodlotc.com
Deputy Information Officer	Alex Winterburn – alex@hodlotc.com
FSP's legal status	We are an authorised FSP in terms of the FAIS Act and may render intermediary services in respect of **Category l 1.27 Crypto** Assets. We accept liability for all intermediary services provided.
Availability of professional indemnity insurance and fidelity guarantee	We do not hold professional indemnity insurance, guarantees or fidelity insurance. In the process of obtaining these as they are new in the Crypto space.
Complaints procedure details. *All complaints must be submitted in writing.*	Telephone number: 087 238 5922 Email: complaints@hodlotc.com
Details of the FSP's compliance framework	Masthead (Pty) Ltd, an FAIS-approved compliance practice, monitors compliance with the FAIS Act. Their contact details are: PO Box 765, Howard Place, 7450 Tel: 021 686 3588 Fax: 021 686 3589

Fais Ombud	
Name	The FAIS Ombud
Postal address	PO Box 74571, Lynwood Ridge, 0040
Physical address	Sussex Office Park, Ground Floor, Block B, 473 Lynnwood Road Cnr Lynnwood Road & Sussex Ave, Lynnwood, 0081
Telephone number +27 12 470 9080	Fax number +27 12 348 3447
Email info@faisombud.co.za	Website www.faisombud.co.za

Conflict of Interest
In compliance with legislation, we maintain an up-to-date Conflict of Interest Management policy and disclosure register. This register outlines all financial and ownership interests we may have and details our associate and business relationships, ensuring transparency in our dealings with clients. The document is available for inspection.
Use of Your Personal Data
All information about you will remain confidential unless provided by you. By entering into this agreement, you consent to the processing of your personal information under data protection laws such as POPI. We will take steps to protect your data and may use it to: a. Communicate requested information, provide services, verify details, and compile statistics. b. Share your information with affiliates or subsidiaries for service provision and analysis. c. Share your information with third-party service providers managing your policy. This consent remains valid even if your service agreement is canceled or lapses. All information provided to HODL OTC is subject to our privacy policy, available on our website.
Waiving of rights
The General Code of Conduct prohibits any financial services provider from encouraging or requesting clients to waive their rights or benefits under the Code. Any such waiver is deemed invalid and unenforceable.
Conflict of Interest
We have reviewed the conflict of interest provisions under the FAIS Act 37 of 2002 and found no actual or potential conflicts, including ownership, financial interests, or third-party relationships. We follow a values-based approach, in line with the spirit of the legislation, which is reviewed annually and reported to the Financial Sector Conduct Authority. Our conflict of interest policy is available upon request.
Fica
HODL OTC is registered as an accountable institution under the Financial Intelligence Centre Act, 38 of 2001.
Document Storage
HODL OTC retains all legal documents and communication records related to its financial services for the legally mandated periods. Electronic records are backed up regularly.
Disclaimer
Trading or investing in crypto assets carries significant risks, including potential loss of capital due to price fluctuations. Please consult HODL OTC’s Risk Disclosures page, available on our website.

By using HODL OTC's services, you acknowledge and agree to be bound by the Terms of Service. Furthermore, you confirm that you have read, understood, and accepted the details outlined in this Statutory Disclosure Statement, recognizing its importance in guiding your engagement with our platform.

Should you have any questions in this regard, please do not hesitate to contact our offices.

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Financial Services Provider as Represented by
Cindy Serfontein