



## REGULATORY DISCLOSURE IN TERMS OF THE GENERAL CODE OF CONDUCT FOR FINANCIAL SERVICES PROVIDERS AND INTERMEDIARIES, SECTION 5

<b>Full Name of Company:</b>	firstEquity Risk Management Services (Pty) Ltd
<b>Legal Status</b>	<p>firstEquity Risk Management Services (Pty) Ltd (FE), Company Registration number 2005/037205/07, FAIS License number: 25937. Key individual: Seamus Casserly (ID Number 5410265116083) is approved by the Financial Services Board</p> <p>PI Financial Risk Services (PIFRS) is appointed as a juristic representative of the FSP by virtue of a written mandate with Seamus Casserly being the key individual for this representative.</p>
<b>License Categories:</b>	<p>firstEquity Risk Management Services (Pty) Ltd is licensed for a category 1 License in terms of FAIS:</p> <p>Short term Insurance– Personal Lines Short term Insurance – Commercial lines</p>
<b>Physical address:</b>	23 Hobart Road, First Floor, Block A, Hobart Square Office Park
<b>Postal Address:</b>	P O Box 71431, Bryanston, 2021
<b>Telephone:</b>	08611 74377 (08611 PIFRS)
<b>Fax:</b>	011 706 4959
<b>E-mail:</b>	Info@pifrs.co.za
<b>Product providers:</b>	<p>We, as representatives of FSP 25937, contract independently and have agreements with the following product providers:</p> <ul style="list-style-type: none"><li>• AIG South Africa Ltd</li><li>• Camargue Underwriting Managers (Pty) Ltd</li><li>• Centriq Insurance Company Ltd</li><li>• Hollard Insurance Company Limited</li><li>• Leppard and Associates (Pty) Ltd</li><li>• Lombard Insurance Company Ltd</li></ul>

PIFRS is a division and juristic representative of firstEquity Risk Management Services (Pty) Ltd

firstEquity is an authorised Financial Services Provider

**PI Financial Risk Services (Pty) Ltd | Directors:** S Casserly | V Govender | JCS Pearson (CEO), CL Harker (MD) | **Reg No:** 2008/026574/07 | **Physical Address:** First Floor, Block A, Hobart Square Office Park, 23 Hobart Rd, Bryanston, 2191 | **Postal Address:** PO Box 71431 Bryanston, 2021, Gauteng, South Africa | **Telephone:** 08611 74377 (08611 PIFRS) |



- Manwood Underwriters (Pty) Ltd
- Risk Technical Services (Pty) Ltd
- Santam Insurance Company Limited
- Etana Insurance Company Limited
- Zurich Insurance Company Limited

Our representatives are authorised to place business with any of them.

In the past 12 months this business did earn more than 30% of its income from:

- Centric Insurance Company Limited.
- Hollard Insurance Company Limited

FSP has no financial interest in any product supplier. We carry professional indemnity insurance although our representatives are required to have this in place.

#### **Authorisation**

The FSP accepts responsibility for the actions of the above mentioned representative acting within the mandates listed below. The representative is authorised to give advice and render intermediary services on the following product categories:

- Short Term Personal and Commercial Insurance

The financial services provider will not be held liable in terms of any prejudice in respect of services or advice provided by any representative which falls outside the scope of this authorisation, and any complaint in respect of any product which falls outside the definition of financial product of the FAIS Act, cannot be forwarded to the FAIS Ombud

#### **Conflict of Interest:**

Fe have a Conflict of Interest Management Policy which can be viewed by request.

#### **Insurances and Guarantees:**

Fe have Professional Indemnity Insurance, details of which will be made available upon request.

Premium payments are collected and controlled by Innovation Maven (Pty) Ltd. Innovation Maven is an authorised financial

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service Providers (FSP Number 2464). In consequence, FSPs do not hold an IGF guarantee.

**Exemptions:**

The FSP has not applied for, nor has it been granted any specific exemptions by the Registrar from requirements imposed by the FAIS Act or any subordinate legislation.

**Contract of Insurance**

The result of any failure on your part to provide us with the correct and / or full information relating to your insurance and / or any claim, may be to influence underwriters and / or insurers to act accordingly regarding your cover.

**Understanding**

Ensure that you understand what you are covered for and what exclusions are applicable to your contract. Should you have any questions whatsoever, please contact us for clarification.

**Premium Payment**

As contained within your policy documentation

**Claims**

You can direct all your claims queries through to [\*\*claims@pifrs.co.za\*\*](mailto:claims@pifrs.co.za)

**Queries:**

Any queries can be directed to your representative.

**Complaints**

Any complaints you may have against PIFRS, can be directed to [\*\*complaints@pifrs.co.za\*\*](mailto:complaints@pifrs.co.za)

**Regulatory Information**

a) Compliance Officer:

Crux Consulting Compliance Practitioners  
Telephone number: (011) 234 4991  
Fax number: 086 504 0010  
Address: P O Box 2762, Sunninghill, 2157  
E-mail: [Stephanie@cruxconsulting.co.za](mailto:Stephanie@cruxconsulting.co.za)

b) Key Individual:

Seamus Casserly Email: [seamusc@firstequity.co.za](mailto:seamusc@firstequity.co.za)

c) Registrar of Short Term Insurance

Financial Services Board  
P O Box 35655  
Menlo Park

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d) FAIS Ombud

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E-mail: [info@faisombud.co.za](mailto:info@faisombud.co.za)

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