



FINANCIAL SERVICES BOARD

LICENCE No. 1441

FINANCIAL SERVICES PROVIDER
Financial Advisory and Intermediary Services Act, 2002

It is hereby certified that with effect from 4 December 2007

TRAFALGAR FINANCIAL SERVICES (PTY) LIMITED

**IS LICENSED AS A FINANCIAL SERVICES PROVIDER IN TERMS OF SECTION 8 OF THE
FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002 (ACT NO. 37 OF 2002)**
subject to the conditions and restrictions set out in the Annexure

A handwritten signature in black ink, appearing to be 'J. Ehlers', is written over a horizontal dotted line.

REGISTRAR OF FINANCIAL SERVICES PROVIDERS



This document to be displayed in terms of section 8(8)(a) of the Act. The Annexure to be available for the information of clients.

A handwritten signature in black ink, appearing to be 'Janet Ehlers', is written above the printed name.

JANET EHLERS
Commissioner of Oaths
EX-OFFICIO ADVOCATE RSA
C/o Financial Services Board
446 Rigel Avenue South
Erasmusrand - Pretoria

**CERTIFIED A TRUE
COPY OF THE
ORIGINAL**

ANNEXURE

FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT, 2002

CONDITIONS AND RESTRICTIONS

Act to the Registrar, and must thereafter in accordance with the procedure and time limit set out in Condition 1, inform the Registrar of any change effected to the details as contained in that register.

- 4 The financial services provider must not in any manner change the name of the financial services business as reflected on the licence concerned, or carry on any financial services business under such a changed name, unless- (a) the provider has fully complied with the provisions of any other law than the Act which regulates such change of business name (if any); (b) the provider has fully disclosed to the Registrar the details of such compliance with such other law; (c) the Registrar is satisfied that such change of name is otherwise lawful and has approved such change of name; and (d) the Registrar has issued to the provider an appropriately amended licence under the provisions of section 8(5)(b)(i) of the Act.
- 5 The financial services provider must at all times ensure that any financial product in respect of which the provider intends to render a financial service, qualifies as a financial product contemplated in the Act and is or will be lawfully issued by the relevant product supplier by virtue of an authority, approval or right granted to such supplier under a law as contemplated in the definition of 'product supplier' in section 1(1) of the Act.

3. Applicable exemptions (if any):

Exemption of licensees as regards display certified copies of licences (Board Notice 40 of 2004)

Exemption of licensees as regards references to licences in business documentation (Board Notice 71 of 2004)

Exemption of financial services providers from paragraph 5(2) of the Fit and Proper Requirements (Board Notice 96 of 2003)

Exemption of financial services providers as regards to representatives (Board Notice 95 of 2003)




 6/12/07
JANET EHLERS
 Commissioner of Oaths
 EX-OFFICIO ADVOCATE RSA
 C/o Financial Services Board
 446 Rigel Avenue South
 Erasmusrand - Pretoria

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