



ORDER EXECUTION POLICY

Cape Capital Group (Pty) Ltd.

FSP: 50206



This is the corporate website of the Cape Capital Group (Pty) Limited ("the Company").

The Company is an authorized Financial Service Provider by the Financial Sector Conduct Authority (FSCA) in South Africa. The Company is listed under the FSP No. 50206 and under the Registration No. 2019/142922/07.

Introduction

This is the corporate website of the Cape Capital Group (Pty) Limited ("the Company").

The Company is an authorized Financial Service Provider by the Financial Sector Conduct Authority (FSCA) in South Africa. The Company is listed under the FSP No. 50206 and under the Registration No. 2019/142922/07.

It is important to note that your consent to this Order Execution Policy is established when you agree and confirm to the statement in the Account Opening Form. By agreeing to the Terms and Conditions, Privacy Policy, and Risk Disclosure of the Company, the client is entering into a Client Agreement with the Company for the provision of investment services and also consenting to the application of the Order Execution Policy.

This Policy details the necessary measures that the Company must undertake to ensure optimal outcomes are achieved while conducting transactions on behalf of the client.

This Policy was meticulously drafted and thereafter implemented in compliance with the Financial Advisory and Intermediary Services Act No. 37 of 2002 which provides the necessary obligations to maintain policies, practices, procedures and techniques in order to effectively provide the most probable outcome and for the best interest of the client. The aim of the Company is to provide the client with utmost service in compliance with the responsibilities of the Company in accordance with the FAIS Act and as well as its obligations to its clients.

This Policy serves the intention of furnishing the clients of Cape Capital with information with regard to the Order Execution provisions of the Company. The Company endeavors to obtain the best probable result for the clients by taking all practical measures when effecting the client orders or receiving and transmitting orders for execution concerning financial instruments. The Policy provides a broad summary of how financial instrument orders are effected, as well as the aspects that may impact their execution thereof. Each order that the Company receives is accepted and executed on the understanding that the company is acting not as an agent for the client but as a principal on its own behalf. The Policy is applicable whenever the Company executes orders on behalf of its clients. The Company cannot assure that the client will obtain a more favourable price than one that may be obtainable elsewhere when executing a financial transaction.



Financial Instruments

The Company provides Over the Counter Financial Contracts for Differences (CFDs) and other products as updated on the website from time to time.

Best Execution Criteria

The Company will use its commercial judgement and experience to determine the relative importance of the Best Execution Factors as discussed in this Policy, taking into consideration the available market information and specific circumstances:

- (a) The characteristics of the Client order;
- (b) The characteristics of the Financial Instruments that are the subject of that order;
- (c) The characteristics of the execution venue to which that order is directed.

Execution Factors

Below are the following execution factors that will be considered in the execution of the orders of a client:

- a. Price (high level of importance)
- b. Costs (high level of importance)
- c. Speed of execution (high level of importance)
- d. Likelihood of execution (high level of importance) and settlement (medium level of importance)
- e. Size and nature of the order (medium level of importance)
- f. Any other consideration relevant to the execution of the order

The Company considers several factors in the execution of an order for a client such as:

1. The Company provides for two prices, these are the higher price (Ask) and the lower price (Bid). The higher price is the price which the client can purchase a financial instrument. The lower price is the price which the client can sell a financial instrument.
2. Orders that can be effected in the phase of Ask price are Buy Stop, Stop Loss or Take Profit, or Buy Limit for open short positions. Orders that can be effected in the phase of Bid price are Sell Stop, Stop Loss or Take Profit, or Sell Limit for open long positions.
3. The Company applies financing fee or commission in the opening of a position in certain kinds of financial instruments. The client is informed of the amount or rate of



costs to be charged by the Company before the beginning of the trade by the client and it is ensured that the amount or rate thereof is adequate and reasonable.

4. The speed of execution could be crucial for certain types of orders or clients. The Company endeavors to provide the fastest possible execution speed within the confines of technology constraints thereof and the aim to execute client orders as quickly as reasonably possible due to the high levels of volatility that affect both price and volume..

5. The probability of execution is contingent upon the availability of prices from other market makers or financial institutions. Sometimes, it may not be feasible to facilitate the execution of an order, for instances such as but not limited to the following: periods of high market volatility where prices can quickly deviate from declared values, in the event of a force majeure, the start of trading sessions, situations where there is inadequate liquidity to execute the order at the specified price and volume, and during news releases. Thus, by reason of these market conditions, orders from the client may be executed at a price that is not exactly the same as the requested price but the Company will ensure to only provide the best possible price and to arrange all necessary services that is in consonance with the best interests of the client. However, it is important to note that the Company cannot guarantee the arrangement and execution of the orders at the price requested by the client. Further, the company will proceed with the settlement of the transaction only if the transaction has been successfully executed.

6. The minimum order size may vary depending on the type of the client account. The company reserves the right to reject an order, as outlined in the agreement with the client.

7. The Company will consider any additional factor pertinent to the order that the Company deems worthy of attention while determining how to execute the order.

Execution Orders

This policy will discuss the different types of orders, such as Market Order, Pending Order and Training Order.

Market Order

A market order is a type of order used to buy or sell a financial instrument at its current market price. When a market order is executed, it results in the opening of a trade position. Financial instruments are purchased at the ask price and sold at the bid price. Stop loss and take profit orders can be attached to a market order. All account types offered by the Company are considered market order



Pending Order

A Pending order is a type of order that enables the user to buy or sell a financial instrument at a pre-defined price in the future. These pending orders are executed automatically once the price of the financial instrument reaches the requested level. However, it should be noted that in certain trading conditions, it may be impossible to execute these orders at the client's requested price. In such cases, the company reserves the right to execute the order at the best available price.

This can occur in various scenarios such as during periods of rapid price fluctuations, significant price movements within a single trading session resulting in trading restrictions, insufficient liquidity, or during the opening of trading sessions. In such cases, the execution of pending orders may be subject to change, and the company may execute them at the best available price.

The company provides different types of pending orders, including Buy Limit, Buy Stop, Sell Limit, and Sell Stop orders, to accounts used for the purpose of receiving and transmitting client orders related to financial instruments for execution.

Trailing Order

This order allows the client to set a stop loss level at a certain distance (in pips or points) away from the current market price. The unique feature of a Trailing Stop is that it will move dynamically as the market price moves in the client's favor, effectively "trailing" behind the current market price.

It is important to note that Trailing Stops are executed in the client's terminal and therefore rely on a stable internet connection and a functioning trading platform. Therefore, if the client's terminal is turned off or disconnected from the internet, the trailing stop feature will not work. Additionally, they may not be available for all financial instruments or account types, so clients should check with their broker for more information.

Execution Venue

Execution venues refer to the entities where the Company places orders or to which it transmits orders for execution. When executing an order on behalf of a client, the company must adhere to its execution policy, but the Company cannot guarantee that the requested price will always be achieved as there are several factors that could cause a particular transaction to yield a different outcome. The Company will act as the principal and the sole execution venue for all client orders in any transactions entered into with the client. It is important to note that the client must use the trading platform of the Company to open and close positions for any specific financial instrument.



Monitoring, Review and Record Keeping

The Company will proactively oversee adherence to this Policy. To facilitate a thorough assessment of the Company's best execution arrangements, a series of tools and processes have been established to fulfill the monitoring obligations of the Company and to ensure that clients receive the most favorable execution. The company shall signify to the client that its orders are executed in compliance with this Policy, if requested by the client.

The Company will conduct regular reviews of this Policy and its arrangements, at a minimum on an annual basis, in order to assess the Company of providing the best execution arrangements of the orders of the client.

The Company provides a meticulous process of arranging the execution orders of a client. The Company considers several factors in the execution of orders of a client which include but is not limited to the speed, price, costs, size or any other considerations that is significant in the execution of order.

The Company shall provide changes to this Policy when necessary. It is important to note that the Company is not obliged to inform the client of the changes conducted in this Policy except with regard to material changes. The client shall from time to time visit the website of the Company at <https://capecapitalgroup.co.za/> in order to be updated of this and other policies of the Company. In the context of this Policy, material changes pertains to any relevant event of an internal or external nature that could affect the best execution factors of including but not limited to price, cost, speed, size, likelihood of execution, or venue.

The company is responsible for the keeping records of the prices displayed for each financial instrument on the trading platform which comprises of the particulars regarding price, costs, speed, size, likelihood of execution and settlement for a minimum period of six (6) years. If in case relevant particulars are requested by the authorities, for a period of eight (8) years.

Client Declaration and Client Specific Instruction

The operation is based on the premise that all customers would legitimately depend on the Company to provide the best possible execution for all transactions, regardless of their nature. However, it is important to note that the Company cannot assure that the client will obtain a more favourable price than one that may be obtainable elsewhere when executing a financial transaction.

When you sign or agree to the declaration in the account opening form, you are giving your consent to this Policy, including the sections that mandate your prior express consent. It is important to note that not providing your consent to this Policy may restrict our ability to execute your orders on the most advantageous terms for you.



Therefore, if you do not agree to this Policy, it may not be possible to open an account for you.

It is important to note that prior consent of the client is significant and required in the establishment of a business relationship with the Company. In the creation of a business relationship, it will signify the obligation of the Company to execute the orders of a client provided that a prior consent is given by the client.

The Company shall execute the order of the client as per the specific instructions of the latter if the client provides the Company with specific instructions on how to execute an order and the Company accepts the said instructions. In this circumstance, the Company will execute the order in accordance with the specific instructions of the client.

Company Timings

The Company is open and operating from Mondays 00:00:01 a.m. (GMT +2) to Fridays 00:00:00 p.m. (GMT +2) . The Company does not operate on Saturdays and Sundays. During holidays, the Company may or may not operate. The Company will announce non-working holiday through an email to be sent to the email address provided by the client in the Account Opening Form.

Cape Capital Group:

Registered Office: First Floor Zotos House, 183 Smit Street, Fairland Johannesburg, Gauteng

Country of registration: South Africa

FSP No.: 50206

Registration Number: 2019/142922/07

Category License: Category 1

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