

## DISCLOSURE STATEMENT IN TERMS OF FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT 37 OF 2002 (FAIS)

### AUTHORISED FINANCIAL SERVICES PROVIDER

Mazi Asset Management is an authorised financial services provider in terms of the Financial Advisory and Intermediary Services (FAIS) Act No.37 of 2002. In terms of the General Code of Conduct of FAIS, FSP is required to disclose the information in this document. Please read this document and sign the acknowledgement to confirm that you understand the content hereof.

### PARTICULARS OF FSP

Name: **Mazi Asset Management Pty (Ltd)**  
Registration no: 2012/012860/07  
Telephone Number: +27 10 001 8300  
Facsimile Number: +27 10001 8399  
Contact person: Asanda Notshe  
Postal Address: P O Box 784583, Sandton, 2146  
Physical Address: 4<sup>th</sup> Floor, North Wing, 90 Rivonia Road, Sandton, 2196  
FSP Number: 46405

### FINANCIAL SERVICES AND PRODUCTS

Mazi Asset Management is authorised to render advisory, intermediary and discretionary financial services in respect of the following financial products:

#### CATEGORY I

Long-Term Insurance: Category A  
Long Term Insurance: Category B1  
Long Term Insurance: Category C  
Retail Pension Benefits  
Pension Fund Benefits (excluding retail)  
Securities and Instruments: Shares  
Securities and Instruments: Money market instruments  
Securities and Instruments: Debentures and securities debt  
Securities and Instruments: Warrants, certificates and other instruments  
Securities and Instruments: Bonds  
Securities and Instruments: Derivatives instruments  
Participatory interests in Collective Investment Schemes

#### CATEGORY II - Discretionary FSP

Securities and Instruments: Shares  
Securities and Instruments: Money market instruments  
Securities and Instruments: Debentures and securities debt  
Securities and Instruments: Warrants, certificates and other instruments  
Securities and Instruments: Bonds  
Securities and Instruments: Derivatives instruments  
Participatory interests in Collective Investment Schemes

#### CATEGORY IIA – Hedge Fund FSP

#### **4. AUTHORISED KEY INDIVIDUALS AND REPRESENTATIVES**

The following individuals have been duly authorised by the Financial Services Board as key individuals and representatives to render financial services as defined in terms of the FAIS Act.

Key Individuals:  
Malungelo Zilimbola  
Asanda Notshe  
Francois Olivier

Our representatives do not make discretionary investment decisions on their own, but rather act as contributors to our Investment Committee. A number of our representatives are rendering intermediary services under supervision as defined in the Determination of Fit & Proper requirements.

Mazi Asset Management has the necessary controls and procedures in place as to ensure that the Key Individuals and Representative comply with the prescribed FAIS Fit and Proper Requirements (this includes experience, qualifications, regulatory examinations and honesty and integrity requirements). And Mazi Asset Management accepts legal responsibility for those activities that the representative performed within the scope of implementing his/her employment contract or mandate.

#### **EXEMPTIONS**

The Registrar of Financial Services Providers, under section 44 of the FAIS Act granted Mazi Asset Management exemption from paragraph 9(5) (c) Solvency and Liquidity requirements as per the Determination of Fit and Proper Requirements for Financial Services Providers until March 2016.

#### **CONFLICT OF INTEREST MANAGEMENT POLICY**

In accordance with Mazi Asset Management's conflicts management policy, we place a high priority on our clients' interests. As conflicts of interest affecting clients could undermine the integrity and professionalism of our business, any instances must be identified as early as possible. If conflict situations cannot be avoided, they must be managed equitably and in the client's interest. Detecting potential or recognised conflicts of interest that could compromise the interest of our clients and managing and limiting the impact of conflicts of interest therefore constitute an integral part of Mazi Asset Management's duties and obligations.

Potential conflicts of interest are inherent in any business and therefore it is not our aim to avoid all conflicts but rather to take steps to identify and manage conflicts of interest to ensure that our clients are not unduly prejudiced.

Mazi Asset Management maintains an active Conflicts of Interest Management Policy which is available on request.

Mazi Asset Management has no shareholding in any product supplier.

#### **INDEMNITY COVER**

Mazi Asset Management holds Professional Indemnity and Fidelity cover.

## **CONFIDENTIALITY**

Where applicable all the personal information we have access to will be treated as confidential and will not be made available to third parties unless so authorised by the client beforehand or if Mazi Asset Management is required to divulge such information in the public interest or under any law.

## **FINANCIAL INTELLIGENCE CENTRE ACT 38 of 2001 (FICA)**

Mazi Asset Management is an accountable institution and is required to comply with the provisions of FICA including but not limited to the obligation to report suspicious and unusual transactions that may facilitate money laundering to the authorities.

## **COMPLAINTS AND DISPUTE RESOLUTION**

Should you have any complaints against a key individual or representative of Mazi Asset Management, please address all complaints in writing to the Compliance officer. The Compliance officer will acknowledge the complaint in writing and provide you with a response regarding your Complaint. To the extent that you are dissatisfied with the response referred to above, then you can contact the FAIS ombudsman at:

The Ombud for Financial Services  
PO Box 74571  
Lynwood  
0040  
Telephone: (012)4709080  
Toll-free: 0860 324 766  
E-mail: [info@faisombud.co.za](mailto:info@faisombud.co.za)

## **PARTICULARS OF COMPLIANCE OFFICER**

Name	: Anél Naudé
Telephone Number	: 0861 273 783
Email Address	: <a href="mailto:anel@compliserve.co.za">anel@compliserve.co.za</a>

## **RISK DISCLOSURE**

You should note that there are risks involved in buying or selling any financial product, and past performance of a financial product is not necessarily indicative of the future performance. The value of financial products can increase as well as decrease over time, depending on the value of the underlying securities and market conditions. If you are unsure of your investment decision relating to the suitability or appropriateness of our products in terms of your own personal circumstances, please contact your financial advisory investment professional.