

FAIS Disclosure Document

INTRODUCTION

In terms of the General Code of Conduct of the FAIS Act, 36ONE Asset Management (Pty) Ltd (Registration number 2004/035570/07) is required to disclose the information in this document to you.

You are therefore requested to read through the document carefully and sign the acknowledgement that you have read and understand the contents hereof. If there is anything in this document that you do not understand, please request further information from us.

You are entitled to a copy of this document for your own records.

AUTHORISED FINANCIAL SERVICES PROVIDER

36ONE Asset Management (Pty) Ltd is an authorised financial services provider (FSP number 19107) in terms of Section 8 of the FAIS Act.

A copy of our license certificate is available on request.

FSP Name	36ONE Asset Management (Pty) Ltd
Registration Number	2004/035570/07
Postal Address	Private Bag 10361, Sandton, 2146
Physical Address	140 West Street, Sandton, 2196
Legal Status of the FSP	Private Company
Contact Person	Grant Mann
E-mail address	gmann@36one.co.za
Office Telephone Number	+27 10 501 0250

COMPLIANCE OFFICER

Name	Outsourced Compliance Services Pty (Ltd) (Reg no: 2017/394441/07 and FSCA Practice number: 7154)
Physical address	Office 203, 139 Greenway, Greenside, Johannesburg, 2193
Postal Address	Same as the above physical address
Contact person	Mr JJ van Zyl
Telephone number	+27 11 568 0925
Email address	info@outsourcedcompliance.co.za

FINANCIAL SERVICES AND PRODUCTS

Category Description	Advice	Intermediary
CATEGORY I		
Structured Deposits	X	X
Participatory interest in a hedge fund	X	X
Securities and Instruments: Shares	X	X
Securities and Instruments: Money market instruments	X	X
Securities and Instruments: Debentures and securitised debt	X	X
Securities and Instruments: Warrants, certificates and other instruments	X	X
Securities and Instruments: Bonds	X	X
Securities and Instruments: Derivative instruments	X	X
Participatory interests in a collective investment scheme	X	X
Long-term Deposits	X	X
Short-term Deposits	X	X
CATEGORY II		
Securities and Instruments: Shares		X
Securities and Instruments: Money market instruments		X
Securities and Instruments: Debentures and securitised debt		X
Securities and Instruments: Warrants, certificates and other instruments		X
Securities and Instruments: Bonds		X
Securities and Instruments: Derivative instruments		X
Participatory interests in one or more collective investment schemes		X
Participatory interest in a hedge fund		X
CATEGORY IIA		
Securities and Instruments: Shares		X
Securities and Instruments: Money market instruments		X
Securities and Instruments: Debentures and securitised debt		X
Securities and Instruments: Warrants, certificates and other instruments		X
Securities and Instruments: Bonds		X
Securities and Instruments: Derivative instruments		X
Participatory interests in one or more collective investment schemes		X
Participatory interest in a hedge fund		X

INDEMNITY COVER

36ONE Asset Management (Pty) Ltd holds Bankers Blanket Bond, Computer Crime and Professional Indemnity cover.

CONFLICT OF INTEREST MANAGEMENT POLICY

36ONE Asset Management (Pty) Ltd has adopted and implemented a conflict of interest management policy that complies with the provisions of the FAIS Act.

The conflict of interest management policy is published on the website of 36ONE Asset Management (Pty) Ltd at www.36one.co.za. The conflict of interest management policy can also be obtained from 36ONE Asset Management (Pty) Ltd on request to Support@36one.co.za.

COMPLAINTS

Should you wish to pursue a complaint against a key individual or representative of 36ONE Asset Management (Pty) Ltd, you should address the complaint in writing.

If you cannot settle your complaint with us, you are entitled to refer it to the office of the FAIS Ombud, at info@faisombud.co.za or telephone number 0860 324 766. The Ombud has been created to provide you with a redress mechanism for any inappropriate financial advice that you feel may have been given to you by a financial services provider.

FINANCIAL INTELLIGENCE CENTRE ACT (FICA)

In terms of FICA, 36ONE Asset Management (Pty) Ltd is an accountable institution. We are required to identify our prospective clients, verify the given information and keep records of the verifying documents.

We are also obliged to report suspicious and unusual transactions that may facilitate money laundering to the authorities.

DISCLAIMER

Refer to <https://www.36one.co.za/legal/disclaimer>

AUTHORISED REPRESENTATIVES AND KEY INDIVIDUALS

The Financial Sector Conduct Authority Board has duly authorised the following representatives and key individuals to render financial services as defined in terms of the Financial Advisory and Intermediary Services (FAIS) Act in respect of the following financial products:

Cat	Sub Cat	Category Description	CJ	SL	EW	RS	DI	KD	NM	MW
1	8	Shares	A, I, AKI	A, I, AKI	A, I				A, I, US	A, I, US
1	9	Money market instruments	A, I, AKI	A, I, AKI	A, I				A, I, US	A, I, US
1	10	Debentures and securitised debt	A, I, AKI	A, I, AKI	A, I				A, I, US	A, I, US
1	11	Warrants, certificates and other instruments	A, I, AKI	A, I, AKI	A, I				A, I, US	A, I, US
1	12	Bonds	A, I, AKI	A, I, AKI	A, I				A, I, US	A, I, US
1	13	Derivative instruments	A, I, AKI	A, I, AKI	A, I				A, I, US	A, I, US
1	14	Participatory interests in a collective investment scheme	A, I, AKI	A, I, AKI	A, I				A, I, US	A, I, US
1	17	Long-term Deposits	A, I, AKI	A, I, AKI	A, I		A, I	A, I	A, I, US	A, I, US
1	18	Short-term Deposits	A, I, AKI	A, I, AKI	A, I		A, I	A, I	A, I, US	A, I, US
1	24	Structured Deposits	A, I, AKI	A, I, AKI	A, I		A, I	A, I	A, I, US	A, I, US
1	26	Participatory interest in a hedge fund	A, I, AKI	A, I, AKI	A, I				A, I, US	A, I, US
2	5	Shares	D, AKI	D, AKI	D	D	D	D	D, US	D, US
2	6	Money market instruments	D, AKI	D, AKI	D	D	D	D	D, US	D, US
2	7	Debentures and Securitised Debt	D, AKI	D, AKI	D	D		D	D, US	D, US
2	8	Warrants, certificates and other instruments	D, AKI	D, AKI	D	D		D	D, US	D, US
2	9	Bonds	D, AKI	D, AKI	D	D		D	D, US	D, US
2	10	Derivative instruments	D, AKI	D, AKI	D	D		D	D, US	D, US
2	11	Participatory interests in one or more collective investment scheme	D, AKI	D, AKI	D	D	D	D	D, US	D, US
2	20	Participatory interest in a hedge fund	D, AKI	D, AKI	D	D	D	D	D, US	D, US
2A	5	Shares	D, AKI	D, AKI	D	D	D	D	D, US	D, US
2A	6	Money market instruments	D, AKI	D, AKI	D	D	D	D	D, US	D, US

Cat	Sub Cat	Category Description	CJ	SL	EW	RS	DI	KD	NM	MW
2A	7	Debentures and Securitised Debt	D, AKI	D, AKI	D	D		D	D, US	D, US
2A	8	Warrants, certificates and other instruments	D, AKI	D, AKI	D	D		D	D, US	D, US
2A	9	Bonds	D, AKI	D, AKI	D	D		D	D, US	D, US
2A	10	Derivative instruments	D, AKI	D, AKI	D	D		D	D, US	D, US
2A	11	Participatory interests in one or more collective investment scheme	D, AKI	D, AKI	D	D	D	D	D, US	D, US
2A	20	Participatory interest in a hedge fund	D, AKI	D, AKI		D	D	D	D, US	D, US
2A	99	General Category IIA experience	D, AKI	D, AKI		D	D		D, US	D, US

Cat	Sub Cat	Category Description	SH	SS	SM	TD	W D	LK	BL	JR	KC	ZN
1	8	Shares	A, I	A, I	I	I	I	A, I		I	I	
1	9	Money market instruments	A, I	A, I	I	I	I	A, I		I	I	
1	10	Debentures and securitised debt	A, I	A, I	I	I	I	A, I	I			I, US
1	11	Warrants, certificates and other instruments	A, I	A, I	I			A, I		I	I	
1	12	Bonds	A, I	A, I	I			A, I		I	I	
1	13	Derivative instruments	A, I	A, I	I			A, I		I	I	
1	14	Participatory interests in a collective investment scheme	A, I	A, I	I	A, I	I	A, I		I	I	
1	17	Long-term Deposits	A, I	A, I	I	A, I		A, I	A, I	I	I	A, I, US
1	18	Short-term Deposits	A, I	A, I	I	A, I		A, I	A, I	I	I	A, I, US
1	24	Structured Deposits	A, I	A, I		A, I		A, I	A, I		A, I, US	A, I, US
1	26	Participatory interest in a hedge fund	A, I	A, I		A, I	I	A, I	A, I	I	A, I, US	A, I, US
2	5	Shares	D	D	D	D	D	D	D	D, US	D, US	D, US
2	6	Money market instruments	D	D	D	D	D	D	D	D, US	D, US	D, US
2	7	Debentures and Securitised Debt	D	D	D			D	D	D, US	D, US	D, US
2	8	Warrants, certificates and other instruments	D	D	D			D	D	D, US	D, US	D, US
2	9	Bonds	D	D	D			D	D	D, US	D, US	D, US
2	10	Derivative instruments	D	D	D			D	D	D, US	D, US	D, US
2	11	Participatory interests in one or more collective investment scheme	D	D	D	D	D	D	D	D, US	D	D, US
2	20	Participatory interest in a hedge fund	D	D		D	D	D	D	D, US	D, US	D, US
2A	5	Shares	D	D	D	D	D	D	D	D, US	D, US	D, US
2A	6	Money market instruments	D	D	D	D	D	D	D	D, US	D, US	D, US
2A	7	Debentures and Securitised Debt	D	D	D			D	D	D, US	D, US	D, US

Cat	Sub Cat	Category Description	SH	SS	SM	TD	WD	LK	BL	JR	KC	ZN
2A	8	Warrants, certificates and other instruments	D	D	D			D	D	D, US	D, US	D, US
2A	9	Bonds	D	D	D			D	D	D, US	D, US	D, US
2A	10	Derivative instruments	D	D	D			D	D	D, US	D, US	D, US
2A	11	Participatory interests in one or more collective investment scheme	D	D	D	D	D	D	D	D, US	D, US	D, US
2A	20	Participatory interest in a hedge fund	D	D		D	D	D		D, US	D, US	
2A	99	General Category IIA experience	D	D		D	D	D	D	D, US	D, US	D, US

Key:

CJ = Cy Jacobs
 SL = Steven Craig Liptz
 EW = Evan Walker
 RS = Ryan Seaborne
 DI = Daniel Isaacs
 KD = Kevin de Villiers
 SH = Steven Hurwitz
 SS = Samuel Simpson
 SM = Anastasha Martins
 TD = Tanya de Abreu
 WD = Wendy-Lee Donaldson
 LK = Louis Kruger
 BL = Boitumelo Loate
 JR = Jacqui Ronne
 MW = Matthew Whitelaw
 NM = Nipho Mncwabe
 KC = Kirsten Campbell
 ZN = Zandile Nkwanyana

A = Advice
 I = Intermediary
 D = Discretionary
 US = Services Under Supervision
 AKI = Authorised Key Individual

36ONE Asset Management (Pty) Ltd accepts responsibility for the activities of the Representatives insofar as it is performed within the scope of the contractual agreement between 36ONE Asset Management (Pty) Ltd and the Representatives.

EXEMPTIONS

36ONE Asset Management (Pty) Ltd was not awarded any exemptions from the Act.

PRODUCT SUPPLIERS

36ONE Asset Management (Pty) Ltd does not market the products of product suppliers.

CLIENT ACKNOWLEDGMENT

I/We the undersigned hereby acknowledge receipt of this Disclosure Document and have read and understand the contents.

Signed _____

Print Name _____

Date _____