

A. 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.

B. 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	6A Sandown Valley Crescent, Sandown, Sandton, 2196
Legal Status of the FSP	Private Company
Contact Person	Grant Mann
E-mail	gmann@36one.co.za
Office Telephone Number	+27 11 722 7390
Office Fax Number	+27 11 722 7391

C. COMPLIANCE OFFICER

Name	Independent Compliance Services (Pty) Ltd (Registration number 2003/020695/07 and Practice number 1258)
Physical address	Office 9, Heritage Square, Corner Gladstone and Vrede Road, Durbanville, Cape Town, Western Cape, 7551
Postal address	Same as the above physical address
Contact person	Mr HA Goosen
Telephone number	+27 21 975 6468
Telephone number	+27 21 975 6468
Fax number	+27 86 628 4567
Email address	enrique@complianceservices.co.za

D. FINANCIAL SERVICES AND PRODUCTS

Category Description	Advice	Intermediary
CATEGORY I		
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 Collective Investment Schemes	X	X
Deposits Defined in the Banks Act - exceeding 12 months	X	X
Deposits defined in the Banks act - 12 months or less	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 Collective Investment Schemes		X
CATEGORY IIA - Hedge Fund FSP		
Hedge Fund FSP		X

E. INDEMNITY COVER

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

F. 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.

G. 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.

H. 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.

I. DISCLAIMER

Investors should take cognisance of the fact that there are risks involved in buying or selling any financial product. Past performance of a financial product is not necessarily indicative of 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.

Illustrations, forecasts or hypothetical data are not guaranteed and are provided for illustrative purposes only.

This document does not constitute a solicitation, invitation or investment recommendation.

Prior to selecting a financial product or fund it is recommended that investors seek specialised financial, legal and tax advice.

36ONE Asset Management (Pty) Ltd is an authorised financial services provider in terms of the Financial Advisory and Intermediary Services Act (Act No. 37 of 2002).

The laws of the Republic of South Africa shall govern any claim relating to or arising from the contents of this document.

J. AUTHORISED REPRESENTATIVES AND KEY INDIVIDUALS

The Financial Services 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	WB
1	8	Securities and Instruments: Shares	A, I, AKI	A, I, AKI	A, I				A, I, US
1	9	Securities and Instruments: Money market instruments	A, I, AKI	A, I, AKI	A, I				A, I, US
1	10	Securities and Instruments: Debentures and securitised debt	A, I, AKI	A, I, AKI	A, I				A, I, US
1	11	Securities and Instruments: Warrants, certificates and other instruments	A, I, AKI	A, I, AKI	A, I				A, I, US
1	12	Securities and Instruments: Bonds	A, I, AKI	A, I, AKI	A, I			A, I, US	A, I, US
1	13	Securities and Instruments: Derivative instruments	A, I, AKI	A, I, AKI	A, I				A, I, US
1	14	Participatory interests in Collective Investment Schemes	A, I, AKI	A, I, AKI	A, I				A, I, US
1	17	Deposits Defined in the Banks Act - exceeding 12 months	A, I, AKI	A, I, AKI	A, I		A, I	A, I, US	A, I, US
1	18	Deposits Defined in the Banks Act - 12 months or less	A, I, AKI	A, I, AKI	A, I		A, I	A, I, US	A, I, US

Cat	Sub Cat	Category Description	SH	SS	JC	TD	WD	LK	BL
1	8	Securities and Instruments: Shares	A, I, US	A, I, US	A, I	I	I	A, I	A, I, US
1	9	Securities and Instruments: Money market instruments	A, I, US	A, I, US	A, I	I	I	A, I	A, I, US
1	10	Securities and Instruments: Debentures and securitised debt	A, I, US	A, I, US	A, I	I	I	A, I	A, I, US
1	11	Securities and Instruments: Warrants, certificates and other instruments	A, I, US	A, I, US	A, I			A, I	A, I, US
1	12	Securities and Instruments: Bonds	A, I, US	A, I, US	A, I			A, I	A, I, US
1	13	Securities and Instruments: Derivative instruments	A, I, US	A, I, US	A, I			A, I	A, I, US
1	14	Participatory interests in Collective Investment Schemes	A, I, US	A, I, US	A, I	I	I	A, I, US	A, I, US
1	17	Deposits Defined in the Banks Act - exceeding 12 months	A, I, US	A, I, US	A, I	A, I		A, I, US	A, I, US
1	18	Deposits Defined in the Banks Act - 12 months or less	A, I, US	A, I, US	A, I	A, I		A, I, US	A, I, US

Cat	Sub Cat	Category Description	CJ	SL	EW	RS	DI	KD	WB
2	5	Securities and Instruments: Shares	I, AKI	I, AKI	I	I	I	I, US	I, US
2	6	Securities and Instruments: Money market instruments	I, AKI	I, AKI	I	I	I	I, US	I, US
2	7	Securities and Instruments: Debentures and Securitised Debt	I, AKI	I, AKI	I	I		I, US	I, US
2	8	Securities and Instruments: Warrants, certificates and other instruments	I, AKI	I, AKI	I	I		I, US	I, US
2	9	Securities and Instruments: Bonds	I, AKI	I, AKI	I	I		I, US	I, US
2	10	Securities and Instruments: Derivative instruments	I, AKI	I, AKI	I	I		I, US	I, US
2	11	Participatory interests in Collective Investment Schemes	I, AKI	I, AKI	I	I	I	I, US	I, US
2	15	CATEGORY IIA - Hedge Fund FSP	I, AKI	I, AKI	I	I	I	I, US	I, US

Cat	Sub Cat	Category Description	SH	SS	JC	TD	WD	LK	BL
2	5	Securities and Instruments: Shares	I, US	I, US	I, US	I	I	I	I, US
2	6	Securities and Instruments: Money market instruments	I, US	I, US	I, US	I	I	I	I, US
2	7	Securities and Instruments: Debentures and Securitised Debt	I, US	I, US	I, US			I	I, US
2	8	Securities and Instruments: Warrants, certificates and other instruments	I, US	I, US	I, US			I	I, US
2	9	Securities and Instruments: Bonds	I, US	I, US	I, US			I	I, US
2	10	Securities and Instruments: Derivative instruments	I, US	I, US	I, US			I	I, US
2	11	Participatory interests in Collective Investment Schemes	I, US	I, US	I	I	I	I, US	I, US
2	15	CATEGORY IIA - Hedge Fund FSP	I, US	I, US	I, US	I	I	I	I, US

Key:

CJ = Cy Jacobs
SL = Steven Craig Liptz
EW = Evan Walker
RS = Ryan Seaborne
DI = Daniel Isaacs
KD = Kevin de Villiers
WB = Wessel Badenhorst
SH = Steven Hurwitz
SS = Samuel Simpson
JC = Jacobus Cilliers
TD = Tanya de Abreu
WD = Wendy-Lee Donaldson
LK = Louis Kruger
BL = Boitumelo Loate

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

K. CLIENT ACKNOWLEDGMENT

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

Signed	
Print Name	
Date	

Signed	
Print Name	
Date	