

## FAIS DISCLOSURE

### INTRODUCTION

In terms of the General Code of Conduct of the Financial Advisory and Intermediary Services Act No.37 of 2002 (“**FAIS / the FAIS Act**”), Bravura Capital (Pty) Ltd (Registration number 2013/030889/07) (“**Bravura**”) is required to disclose the information in this document.

We pledge to render financial services honestly, fairly, with due skill, care and diligence to our clients.

You are therefore requested to read through the document carefully. 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 SERVICE PROVIDER

Bravura is an authorised financial services provider (“**FSP**”) (FSP number 47142) in terms of Section 8 of the FAIS Act.

A copy of the FSP license certificate is available on request.

<b>Name:</b>	Bravura Capital (Pty) Ltd
<b>Telephone Number:</b>	+27 (011) 459 5000
<b>Website:</b>	<a href="http://www.bravura.net">www.bravura.net</a>
<b>Physical Address:</b>	Ground Floor, Suite 2, 23 Fricker Road, Illovo, 2196, Johannesburg
<b>Postal Address:</b>	P.O. Box 2070, Parklands, 2121
<b>Contact Person:</b>	Soria Hay
<b>Email:</b>	<a href="mailto:HeadOfCorporateFinance@bravura.net">HeadOfCorporateFinance@bravura.net</a>

### FINANCIAL SERVICES AND PRODUCTS

Bravura is authorised by the Financial Sector Conduct Authority to render financial services in respect of the following financial products:

Category Description	Advice	Intermediary Services
<b>CATEGORY I</b>		
Securities and Instruments: Shares	X	X
Securities and Instruments: Debentures and securitised debt	X	X
Securities and Instruments: Warrants, certificates and other instruments	X	X

## **PRODUCT SUPPLIERS**

Bravura does not market the products of product suppliers.

## **AUTHORISED KEY INDIVIDUALS AND REPRESENTATIVES**

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

### **Key Individuals:**

Soria Hay

Please refer to our website <https://www.bravura.net/about/> for the full key individual and representative register.

Bravura has the necessary controls and procedures in place as to ensure that the key individuals and representatives comply with the prescribed FAIS Fit and Proper Requirements (this includes experience, qualifications, regulatory examinations and honesty and integrity requirements).

Bravura accepts legal responsibility for those activities that the representative performed within the scope of implementing his/her employment contract or mandate.

## **INDEMNITY COVER**

Bravura holds appropriate professional indemnity and fidelity cover.

## **CONFLICT OF INTEREST MANAGEMENT POLICY**

Bravura 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 Bravura at <https://www.bravura.net/about/>. The conflict of interest management policy can also be obtained from Bravura on request from [compliance@bravura.net](mailto:compliance@bravura.net).

## **COMMISSIONS OR INCENTIVES**

Any incentives, fees, charges, commissions are (or will be) disclosed in the mandate letter signed with (or to be signed) with Bravura (the "**Mandate**").

## **PARTICULARS OF COMPLIANCE OFFICER**

**Name:** Soria Hay

**Telephone Number:** (011) 459 5000

**Email Address:** [compliance@bravura.net](mailto:compliance@bravura.net)

## **COMPLAINTS AND DISPUTE RESOLUTION**

Should you have any complaints against a key individual or representative of Bravura, please address all complaints in writing to the Compliance Officer at [compliance@bravura.net](mailto:compliance@bravura.net). The Compliance Officer will

acknowledge the complaint in writing and provide you with a response regarding your complaint. You can also refer to our complaints policy on our website <https://www.bravura.net/about/>.

If 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)

### **FINANCIAL INTELLIGENCE CENTRE ACT (“FICA”)**

In terms of FICA, Bravura 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.

### **FORMS**

In the course of rendering a financial service Bravura will not request a client to sign any written or printed forms or documents unless all the details required to be inserted thereon by the client or on behalf of the client have already been inserted.

### **CONFIDENTIALITY**

Where applicable all the personal information that Bravura has 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 Bravura is required to divulge such information in the public interest or under any law as per clause in the mandate.