**DISCLOSURES REQUIRED IN TERMS OF THE FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT 37 OF 2002**

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| 1. Status of Financial Services Provider in terms of the FAIS Act |
| Empowerment Capital Investment Partners (Pty) Ltd is an authorized Financial Services Provider, Company Registration number 2015/117874/07, FAIS License number 46333.  Anton Baumann and Mark Fitzjohn are key individuals of Empowerment Capital Investment Partners (Pty) Ltd, and as such participate in the decision making and management of the organisation. |

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| 2. Personal Contact: | 3. Remuneration |
| Anton Baumann  Telephone No: 011 883 0105  E-mail: [anton@empowermentcapital.co.za](mailto:anton@empowermentcapital.co.za)  Mark Fitzjohn  Telephone No: 011 883 0105  E-mail: [mark@empowermentcapital.co.za](mailto:mark@empowermentcapital.co.za) | Anton Baumann is a shareholder, director, key individual and representative of Empowerment Capital Investment Partners (Pty) Ltd and receives incentive remuneration based on individual performance.  Mark Fitzjohn is a shareholder, director, key individual and representative of Empowerment Capital Investment Partners (Pty) Ltd and receives incentive remuneration based on individual performance. |

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| 4. FSP Office Contact Particulars |
| 1st Floor, Alexander Forbes building,  115 West Street,  Sandton,  2196  Post Net suite 137, Private Bag X7, Parkview, 2122  Telephone No: 011 883 0105  E-mail: [mark@empowermentcapital.co.za](mailto:mark@empowermentcapital.co.za) |

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| 5.Responsible Key Individual Contact Particulars | |
| Anton Baumann  Telephone No: 011 883 0105  E-mail: [anton@empowermentcapital.co.za](mailto:anton@empowermentcapital.co.za) | Mark Fitzjohn  Telephone No: 011 883 0105  E-mail: [mark@empowermentcapital.co.za](mailto:mark@empowermentcapital.co.za) |

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| 6.Representatives Contact Particulars | | |
| Anton Baumann  Telephone No: 011 883 0105  E-mail: [anton@empowermentcapital.co.za](mailto:anton@empowermentcapital.co.za) | Mark Fitzjohn  Telephone No: 011 883 0105  E-mail: [mark@empowermentcapital.co.za](mailto:mark@empowermentcapital.co.za) |

Empowerment Capital Investment Partners (Pty) Ltd (Co. Reg. 2015/117874/07) is an authorised Financial Services Provider (No. 46333)

Directors: Humphrey Mathe, Mark Fitzjohn, Anton Baumann & Gladwyn Leeuw

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| 7. Qualifications and Memberships | |
| Mark Fitzjohn has completed a Master’s in Business Administration, B Com in Financial Management, and a Certificate in Banking | |
| Regulatory Examinations | Mark Fitzjohn has completed and passed the required regulatory examinations (RE1 and RE5) |
| Total Experience in the Financial Services Industry | 23 years (1997 to date) |
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| Anton Baumann is a qualified Lawyer and has completed a Master’s in Business Administration | |
| Regulatory Examinations | Anton Baumann has completed and passed the required regulatory examinations (RE1 and RE5) |
| Total Experience in the Financial Services Industry | 10 Years (2010 to date) |

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| 8. Independent Status of Empowerment Capital Investment Partners (Pty) Ltd and Professional Indemnity Insurance |
| Empowerment Capital Investment Partners (Pty) Ltd does not have any agreements with product providers, or have any financial interest in any product suppliers, except for related party companies that offer financial products to companies. Any such relationships are disclosed to clients where applicable. Empowerment Capital Investment Partners (Pty) Ltd does not have other representatives which render financial services on its behalf. Empowerment Capital Investment Partners (Pty) Ltd accepts responsibility for the actions of the abovementioned key individual acting within the mandates listed below. Empowerment Capital Investment Partners (Pty) Ltd has professional indemnity insurance in place. Empowerment Capital Investment Partners (Pty) Ltd has implemented a conflict of interest management policy as required by FAIS and the General Code of Conduct. A copy of the said policies is available to clients at our offices. Empowerment Capital Investment Partners generates remuneration from management fees earned from clients. Empowerment Capital Investment Partners may co-invest in shares and other security instruments using internally generated sources of investment funds and in any such proposed instance will make any necessary disclosures as required by relevant legislation. |

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| 9. Authorisation |
| Empowerment Capital Investment Partners (Pty) Ltd is authorised to render intermediary services on the following products: |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | | Category | Sub Category | Category Description | Advice | Intermediary | | 1 | 8 | Securities and Instruments: Shares | x | x | | 1 | 9 | Securities and Instruments: Money market instruments | x | x | | 1 | 10 | Securities and Instruments: Debentures and securitized debt | x | x | | 1 | 11 | Securities and Instruments: Warrants, certificates and other instruments | x | x | | 1 | 12 | Securities and Instruments: Bonds | x | x | | 1 | 13 | Securities and Instruments: Derivative instruments | x | x | | 1 | 14 | Participatory interests in Collective Investment Schemes | x | x | | 1 | 17 | Deposits Defined in the Banks Act - exceeding 12 months | x | x | | 1 | 18 | Deposits defined in the Banks act - 12 months or less | x | x | |

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| 10. Complaints Procedures |
| If you have a complaint, please contact Empowerment Capital Investment Partners (Pty) Ltd. The complaints officer (Mark Fitzjohn) will assist you to address the concerns you have. Please note that in terms of the FAIS act, all complaints must be addressed to us in writing and may be handed in at our office. Should we not be able to address the concerns to your satisfaction, you may wish to lodge a complaint with the FAIS Ombudsman whose details appear below. If you wish to learn more about our complaints policy and procedure, please contact us on our office telephone no., fax no. or via e-mail. |

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| 11. Empowerment Capital Investment Partners (Pty) Ltd Complaints department |
| Name: Mark Fitzjohn  Cell No: 082 494 3468  Telephone No: 011 883 0105  E-mail: [mark@empowermentcapital.co.za](mailto:mark@empowermentcapital.co.za)  Website: www.empowermentcapital.co.za |

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| 12. Empowerment Capital Investment Partners (Pty) Ltd Compliance Officer’s Details | |
| Chris Honck  Moonstone Compliance (Pty) Ltd  Compliance practice number 188  P. O Box 12662, Die Board, Stellenbosch  7613 Republic of South Africa | Telephone No: 021 883 8000  Facsimile No: 021 883 2590 |

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| 13. FAIS Ombud Details for all FAIS advice related complaints | |
| The Customer Contact Division  The FAIS Ombud  Celtis House  Eastwood Office Park  Lynnwood  Pretoria | PO Box 74571  Lynnwood Ridge  0040  Telephone No: 0860 FAISOM (0860 324 766)  E-mail: info@faisombud.co.za |