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

|  |
| --- |
| 1. Status of Financial Services Provider in terms of the FAIS Act  |
| Thuthuka Nathi Ventures (Pty) Ltd is an authorized Financial Services Provider, Company Registration number 2017/181785/07, FSP License number 48335.Anton Baumann and Mark Fitzjohn are key individuals of Thuthuka Nathi Ventures (Pty) Ltd, and as such participate in the decision making and management of the organisation.  |

|  |  |
| --- | --- |
| 2. Personal Contact:  | 3. Remuneration |
| Anton BaumannCell No: 084 880 8000Telephone No: 011 883 0105E-mail: anton@empowermentcapital.co.zaMark FitzjohnCell No: 082 494 3468Telephone No: 011 883 0105E-mail: mark@empowermentcapital.co.za | Anton Baumann is a director, key individual and representative of Thuthuka Nathi Ventures (Pty) Ltd and does not receive direct income from the company but represents Empowerment Capital Investment Partners (Pty) Ltd, as a service provider to the company. Mark Fitzjohn is a director, key individual and representative of Thuthuka Nathi Ventures (Pty) Ltd and does not receive direct income from the company but represents Empowerment Capital Investment Partners (Pty) Ltd, as a service provider to the company.  |

|  |
| --- |
| 4. FSP Office Contact Particulars |
| The Business Exchange, 195 Jan Smuts Ave, Rosebank 2193Post Net suite 137, Private Bag X7, Parkview, 2122Cell No: 082 494 3468Telephone No: 011 883 0105 E-mail: mark@empowermentcapital.co.za  |

|  |
| --- |
| 5.Responsible Key Individual Contact Particulars  |
| Anton BaumannCell No: 084 880 8000Telephone No: 011 883 0105E-mail: anton@empowermentcapital.co.za  | Mark FitzjohnCell No: 082 494 3468Telephone No: 011 883 0105 E-mail: mark@empowermentcapital.co.za  |

|  |
| --- |
| 6.Representatives Contact Particulars  |
| Mark FitzjohnCell No: 082 494 3468Telephone No: 011 883 0105 E-mail: mark@empowermentcapital.co.za |

ECIP SPV 4 (Pty) Ltd (Co. Reg. 2017/181785/07) is an authorised Financial Services Provider (No. 46333)

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

|  |
| --- |
| 7. Qualifications and MembershipsEmpowerment 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 |
| 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) |
| Anton Baumann has completed a Master’s in Business Administration and the first and second legal state examination in Germany, which is the equivalent of the Admission to the Bard in South Africa |
| 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) |

|  |
| --- |
| 8. Independent Status of Thuthuka Nathi Ventures (Pty) Ltd and Professional Indemnity Insurance |
| Thuthuka Nathi Ventures (Pty) Ltd does not have any agreements with product providers. Thuthuka Nathi Ventures (Pty) Ltd does not have other representatives which render financial services on its behalf. Thuthuka Nathi Ventures (Pty) Ltd has no financial interest in any financial product suppliers. Thuthuka Nathi Ventures (Pty) Ltd accepts responsibility for the actions of the abovementioned key individual acting within the mandates listed below. Thuthuka Nathi Ventures (Pty) Ltd has professional indemnity guarantee in place from Empowerment Capital Investment Partners (Pty) Ltd. Thuthuka Nathi Ventures (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. Thuthuka Nathi Ventures (Pty) Ltd is a special purpose investment vehicle and generates income through dividends. ECIP SPV (Pty) Ltd 3 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. |

|  |
| --- |
| 9. Authorisation |
| Thuthuka Nathi Ventures (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 |

 |

|  |
| --- |
| 10. Complaints Procedures |
| If you have a complaint, please contact Thuthuka Nathi Ventures (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.  |

|  |
| --- |
| 11. Thuthuka Nathi Ventures (Pty) Ltd Complaints department |
| Name: Mark FitzjohnCell No: 082 494 3468Telephone No: 011 883 0105E-mail: mark@empowermentcapital.co.za Website: www.empowermentcapital.co.za  |

|  |
| --- |
| 12. Thuthuka Nathi Ventures (Pty) Ltd Compliance Officer’s Details |
| Chris HonckMoonstone Compliance (Pty) LtdCompliance practice number 188P. O Box 12662, Die Board, Stellenbosch7613 Republic of South Africa | Telephone No: 021 883 8000Facsimile No: 021 883 2590 |

|  |
| --- |
| 13. FAIS Ombud Details for all FAIS advice related complaints |
| The Customer Contact DivisionThe FAIS OmbudCeltis HouseEastwood Office ParkLynnwoodPretoria | PO Box 74571Lynnwood Ridge0040Telephone No: 0860 FAISOM (0860 324 766)E-mail: info@faisombud.co.za |