**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 |
| ECIP SPV 1 (Pty) Ltd (“Andzani Ventures”)is an authorized Financial Services Provider, Company Registration number 2015/337294/07, FAIS License number 47509.  Anton Baumann and Mark Fitzjohn are key individuals of ECIP SPV 1 (Pty) Ltd, and as such they participate in the decision making and management of the organisation. |

|  |  |
| --- | --- |
| 2. Personal Contact: | 3. Remuneration |
| Anton Baumann  Cell No: 084 880 8000  Telephone No: 011 883 0105  E-mail: [anton@empowermentcapital.co.za](mailto:anton@empowermentcapital.co.za)  Mark Fitzjohn  Cell No: 082 494 3468  Telephone No: 011 883 0105  E-mail: [mark@empowermentcapital.co.za](mailto:mark@empowermentcapital.co.za) | Anton Baumann is a director, key individual and representative of ECIP SPV 1 (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 ECIP SPV 1 (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 |
| 1st Floor, Alexander Forbes building,  115 West Street,  Sandton,  2196  Post Net suite 137, Private Bag X7, Parkview, 2122  Cell No: 082 494 3468  Telephone No: 011 883 0105  E-mail: [mark@empowermentcapital.co.za](mailto:mark@empowermentcapital.co.za) |

|  |  |
| --- | --- |
| 5.Responsible Key Individual’s Contact Particulars | |
| Mark Fitzjohn  Cell No: 082 494 3468  Telephone No: 011 883 0105  E-mail: [mark@empowermentcapital.co.za](mailto:mark@empowermentcapital.co.za) | Anton Baumann  Cell No: 084 880 8000  Telephone No: 011 883 0105  E-mail: [ian@empowermentcapital.co.za](mailto:ian@empowermentcapital.co.za) |

|  |  |  |  |
| --- | --- | --- | --- |
| 6.Representatives Contact Particulars | | | |
| Anton Baumann  Cell No: 084 880 8000  Telephone No: 011 883 0105  E-mail: [anton@empowermentcapital.co.za](mailto:anton@empowermentcapital.co.za) | Mark Fitzjohn  Cell No: 082 494 3468  Telephone No: 011 883 0105  E-mail: [mark@empowermentcapital.co.za](mailto:mark@empowermentcapital.co.za) | | |
| 7. Qualifications and Memberships  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 | | |
| 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 ECIP SPV 1 (Pty) Ltd and Professional Indemnity Insurance |
| ECIP SPV 1 (Pty) Ltd does not have any agreements with product providers. ECIP SPV 1 (Pty) Ltd does not have other representatives which render financial services on its behalf. ECIP SPV 1 (Pty) Ltd has no financial interest in any product suppliers. ECIP SPV 1 (Pty) Ltd accepts responsibility for the actions of the abovementioned key individual acting within the mandates listed below. ECIP SPV 1 (Pty) Ltd has professional indemnity insurance in place. ECIP SPV 1 (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. ECIP SPV 1 generates remuneration from consulting and management fees earned from clients. ECIP SPV 1 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 |
| ECIP SPV 1 (Pty) Ltd is authorized to render intermediary services on the following products: |
| |  |  |  |  |  | | --- | --- | --- | --- | --- | | Category | Sub Category | Category Description | Advice | Intermediary | | 1 | 8 | Securities and Instruments: Shares | 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 ECIP SPV 1 (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. ECIP SPV 1 (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 | |
| 12. ECIP SPV 1 (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 |

|  |  |
| --- | --- |
| 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 |