

STATUTORY DISCLOSURE NOTICE



CAEP Asset Managers (Pty) Ltd is an authorised Financial Services Provider in terms of the Financial Advisory and Intermediary Services Act (Act No. 37 of 2002).

CAEP Asset Managers has appointed SimplB (Pty) Ltd as a Juristic Representative and authorised James Christopher Caw, Nicola Anne Oates and Stephen Robert Pratt as its Representatives to provide Category I, II and IIA financial services (advice and/or intermediary services) in the following products. *James Caw is appointed under supervision for all sub-categories, and Nicola Anne Oates is appointed under supervision for Crypto Assets, indicated by the asterix.*

Product Categories	SimplB		James Christopher Caw
	Category I	Category II	Category I
Long-term & Short-term Deposits	x	x	x*
Crypto Assets	x	x	x*

Product Categories	S Pratt & NA Oates			Product Categories	S Pratt & NA Oates		
	Cat I	Cat II	Cat IIA		Cat II	Cat IIA	Cat I
Long-term Insurance A	x			Debentures and securitised debt	x	x	x
Long-term Insurance B1 & B2	x	x	x	Structured Deposits	x	x	
Long-term Insurance B1-A & B2-A	x	x	x	Warrants, certificates & other inst.	x	x	x
Long-term Insurance C	x	x	x	Bonds	x	x	x
Participatory interest in a hedge fund	x	x	x	Derivative instruments (excl. Warrants)	x	x	x
Retail Pension Benefits	x	x	x	Participatory Interests in CIS	x	x	x
Pension Funds Benefits	x	x	x	Long-term & Short-term Deposits	x	x	x
Securities & Instruments	x	x	x	Friendly Society Benefits	x		
Shares	x	x	x	General Category IIA Experience			x
Money Market instruments	x	x	x	Crypto Assets	x*	x*	x*

FSP Name	CAEP Asset Managers (Pty) Ltd
Registration No	2007/025932/07
FSP No.	33933
Licence Categories	Category I, II & IIA
Business and Registered Address	Spaces Design Quarter, Leslie Road, Fourways, Johannesburg, 2191
Key Individuals	Stephen Pratt (T: +44 7450 028 398)
Compliance Officers	Masthead Pty Ltd (T: 011 602 0200) Alexandra Giannoccaro (T: +27 79 128 5580)
Website	www.caeppartners.com

For more information regarding the Representatives please visit the FSCA's website or contact the FSP.

FSP License Product Categories	Cat I	Cat II	Cat IIA	FSP License Product Categories	Cat I	Cat II	Cat IIA
Long-term Insurance A	x			Debentures and securitised debt	x	x	x
Long-term Insurance B1 & B2	x	x	x	Structured Deposits	x	x	
Long-term Insurance B1-A & B2-A	x	x	x	Warrants, certificates & other instruments	x	x	x
Long-term Insurance C	x	x	x	Bonds	x	x	x
Participatory interest in a hedge fund	x	x	x	Derivative instruments (excl. Warrants)	x	x	x
Retail Pension Benefits	x	x	x	Participatory Interests in CIS	x	x	x
Pension Funds Benefits	x	x	x	Long-term & Short-term Deposits	x	x	x
Securities & Instruments	x	x	x	Friendly Society Benefits	x		
Shares	x	x	x	General Category IIA Experience			x
Money Market instruments	x	x	x	Crypto Assets	x	x	x
Key Individuals	Classes of Business			Cat I	Cat II	Cat IIA	
Stephen Pratt	Investments, Long-term Insurance, Pension Fund Benefits, Long-Term & Short-Term Deposits and Crypto Assets			x	x	x	
	Structured Deposits			x	x		

CAEP Compliance Department

Email	info@caeppartners.com
Tel:	+27 (0)11 513 3430

FAIS Ombud Contact Information

Address:	Ground Floor, Block B, Sussex Office Park, 473 Lynnwood Road, Cnr Lynnwood Road and Sussex Avenue, 0081
Email:	info@faisombud.co.za
Tel:	+27 (0)12 470 9080 / 762 5000

Disclosure of Statutory Information

- CAEP Asset Managers accept responsibility for its own actions as well as the actions of its representatives while acting in the course and scope of their employment and authorisation by CAEP Asset Managers.
- CAEP Asset Managers and its representatives will uphold their obligation in maintaining client confidentiality.
- CAEP Asset Managers has contractual relationships with the following product suppliers: BrightRock, CGL, CIG, DMA, GenTwo – RF PCC, Hollard, IG Markets, INN8, Interactive Brokers, Kraken, Liberty, Luno, Ninety One, Opus Chartered, Peresec International, PIM Capital Group, Prescient, Prime Investments, RealFin, Stanlib, Sygnia, Trade Nation and VALR.
- No insurers receive more than 30% of our business.
- CAEP Asset Managers does not hold more than 10% of shares in any product provider.
- Certain representatives are required to render advice and/or intermediary services under supervision. Further details will be provided on request or can be obtained from the FSCA's website – www.fsca.co.za.
- At this stage there have been no special exemptions granted to CAEP Asset Managers by the FSCA.
- CAEP Asset Managers holds sufficient professional indemnity cover and fidelity insurance.

Complaints

- Please note that prior to lodging a complaint with the above authorities, you are required to lodge a complaint with CAEP Asset Managers and only after confirmation by CAEP Asset Managers that they are unable to resolve the complaint may it be escalated to applicable authorities.
- We have established a written internal complaint resolution process. Access to the complaint's procedures and a copy of the complaint resolution process is available on our website. Complaints should be submitted to us in writing and must contain all relevant information. Copies of all relevant documentation must be attached thereto.

Responsibility for Accurate and Complete Information

- Please note that in respect of any application, proposal, order, instruction or other contractual information that is required to be completed for, or submitted to a product supplier by or on your behalf that relates to the purchase of or investment in any financial product, including any amendment thereof or variation thereto, all material facts must be accurately and properly disclosed and the accuracy and completeness of all answers, statements or other information provided by you or on your behalf are your own responsibility.
- If any person completes or submits any application, proposal, order, instruction or other contractual information that is required to be completed for, or submitted to, a product supplier by you or on your behalf that relates to the purchase of or investment in any financial product, including any amendment thereof or variation thereto on your behalf, you should be satisfied as to the accuracy and completeness of the details.
- Any misrepresentation or non-disclosure of a material fact or the inclusion of incorrect information could result in the cancellation of the transaction or the non-payment of a benefit by the product supplier.

Conflicts of Interest

- Our Conflicts of Interest Management Policy is available on our website.
- Stephen Pratt is a shareholder and director of Caplinx Partners Ltd. Caplinx may earn distribution fees from product providers in respect of which Stephen Pratt may provide financial services as a Key Individual and Representative of CAEP Asset Managers.

Waiver of Rights

- No person may ask you or offer any inducement for you to waive any right or benefit conferred on you by or in terms of any provision of the General Code of Conduct of the FAIS Act.

Signing of Incomplete Documents

- You are hereby advised and cautioned that no person acting on behalf of the FSP may in the course of rendering a financial service, request you to sign any written or printed document prior to completion thereof.

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