



## KHUMO CAPITAL

BESPOKE ASSET MANAGEMENT

### FAIS DISCLOSURE DOCUMENT

#### INTRODUCTION

In terms of the General Code of Conduct of the FAIS Act, Khumo Capital (Pty) Ltd (Registration number 2017/320262/07) is required to disclose the information in this document to you.

You are therefore requested to read through the document carefully and acknowledgement that you have read and understand the contents hereof.

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 SERVICES PROVIDER

Khumo Capital (Pty) Ltd is an authorised financial services provider (FSP number 49226) in terms of Section 8 of the FAIS Act. A copy of our license certificate is available on request.

<b>Physical address</b>	5 <sup>th</sup> Floor, Montclare Place, Cnr of Campground and Main Road, Claremont, Cape Town, 7708
<b>Postal address</b>	5 <sup>th</sup> Floor, Montclare Place, Cnr of Campground and Main Road, Claremont, Cape Town, 7708
<b>Contact person</b>	Glanville Retief
<b>Telephone number</b>	021 301 2180
<b>Cell number</b>	082 372 6327
<b>E-mail</b>	info@khumocapital.africa
<b>Website</b>	www.khumocapital.africa

Khumo Capital (Pty) Ltd is an authorised financial services provider (FSP number 49226)

## FINANCIAL SERVICES AND PRODUCTS

The Financial Sector Conduct Authority has duly authorised Khumo Capital (Pty) Ltd to render financial services as defined in terms of the FAIS Act in respect of the following financial products:

### Category I

Category Description	Advice	Intermediary
Structured Deposits	X	X
Shares	X	X
Debentures and securitised debt	X	X
Warrants, certificates and other instruments	X	X
Derivative instruments	X	X
Long-term Deposits	X	X
Short Term Deposits	X	X

### Category II - Discretionary FSP

Category Description	Intermediary
Structured Deposits	X
Shares	X
Money market instruments	X
Debentures and securitised debt	X
Warrants, certificates and other instruments	X
Bonds	X
Derivative instruments	X
Participatory interests in Collective Investment Schemes	X
Participatory interest in a hedge fund	X
Short-term Deposits	X

## AUTHORISED KEY INDIVIDUAL/S

The Financial Sector Conduct Authority has duly authorised the following key individual/s to render financial services as defined in terms of the FAIS Act in respect of the classes of business highlighted below:

Christopher Neal Watts, Glanville Robertson Retief, Suvarn Sastri Appanna Naidoo and Andries Jacobus Visser

Class of Business	Category I	Category II
Short-term and Long-term Deposits	X	X
Structured Deposits	X	X
Investments	X	X

## AUTHORISED REPRESENTATIVES

Khumo Capital (Pty) Ltd has duly authorised the following representatives to render financial services as defined in terms of the FAIS Act in respect of the categories and sub-categories highlighted below:

Registered (X) Supervision Applies (S)											
Category I	Christopher Neal Watts	Glanville Robertson Retief	Suvarn Sastri Appanna Naidoo	Andries Jacobus Visser	Rishay Naidoo	Poelano Matshego	Thesele Joseph Malohle Mampane	Frederick Albrecht Gantz	Moeketsi Michael Mokuoane	Khumo Capital Governance Services (Pty) Ltd	Stonefield Credit Partners (Pty) Ltd
Structured Deposits	X	X	X	X	S	S	S			X	
Shares	X	X	X	X	S	S	S			X	
Debentures and securitised debt	X	X	X	X	S	S	S			X	
Warrants, certificates and other instruments	X	X	X	X	S	S	S			X	
Derivative instruments	X	X	X	X	S	S	S			X	
Long-term Deposits	X	X	X	X	S	S	S			X	
Short-term Deposits	X	X	X	X	S	S	S			X	
Category II	Christopher Neal Watts	Glanville Robertson Retief	Suvarn Sastri Appanna Naidoo	Andries Jacobus Visser	Rishay Naidoo	Poelano Matshego	Thesele Joseph Malohle Mampane	Frederick Albrecht Gantz	Moeketsi Michael Mokuoane	Khumo Capital Governance Services (Pty) Ltd	Stonefield Credit Partners (Pty) Ltd
Structured Deposits	X	X	X	X	S	S	S	S		X	
Shares	X	X	X	X	S	S	S	S	X	X	X
Money market instruments	X	X	X	X	S	S	S	S	X	X	X
Debentures and securitised debt	X	X	X	X	S	S	S	S	X	X	X
Warrants, certificates and other instruments	X	X	X	X	S	S	S	S	X	X	X
Bonds	X	X	X	X	S	S	S	S	X	X	X
Derivative instruments	X	X	X	X	S	S	S	S	X	X	X
Participatory interests in Collective Investment Schemes	X	X	X	X	S	S	S	S		X	
Participatory interest in a hedge fund		X	X	X	S	S	S	S		X	
Short-term Deposits	X	X	X	X	S	S	S	S		X	

## CONFLICT OF INTEREST MANAGEMENT POLICY

Khumo Capital (Pty) Ltd 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 Khumo Capital (Pty) Ltd at [www.khumocapital.africa](http://www.khumocapital.africa). The conflict of interest management policy can also be obtained from Khumo Capital (Pty) Ltd on request from [info@khumocapital.africa](mailto:info@khumocapital.africa).

#### COMPLIANCE OFFICER

<b>Name</b>	Independent Compliance Services (Pty) Ltd (Registration number 2003/020695/07 and Practice number 1258)
<b>Physical address</b>	Office 9, Heritage Square, Cnr Gladstone & Vrede Streets, Durbanville, 7551.
<b>Postal address</b>	Office 9, Heritage Square, Cnr Gladstone & Vrede Streets, Durbanville, 7551.
<b>Contact person</b>	Mr HA Goosen
<b>Telephone number</b>	021 975 6468
<b>Cell number</b>	083 310 1783
<b>Fax number</b>	086 628 4567
<b>E-mail</b>	enrique@complianceservices.co.za

#### INDEMNITY COVER

Khumo Capital (Pty) Ltd holds Professional Indemnity and Fidelity cover.

#### PRODUCT SUPPLIERS

Khumo Capital (Pty) Ltd does not market the products of product suppliers.

## COMPLAINTS

Should you wish to pursue a complaint against a key individual or representative of Khumo Capital (Pty) Ltd, you should address the complaint in writing.

If you cannot settle your complaint with us, you are entitled to refer it to the office of the FAIS Ombud utilising the e-mail or telephone number below:

<b>Telephone number</b>	012 470 9080
<b>E-mail</b>	info@faisombud.co.za

The Ombud has been created to provide you with a redress mechanism for any inappropriate financial advice that you feel may have been given to you by a financial services provider.

## FINANCIAL INTELLIGENCE CENTRE ACT (FICA)

In terms of FICA, Khumo Capital (Pty) Ltd is an accountable institution with reporting entity registration number 46347. 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.

## DISCLAIMER

You should note that there are risks involved in buying or selling any financial product, and past performance of a financial product is not necessarily indicative of the future performance.

The value of financial products can increase as well as decrease over time, depending on the value of the underlying securities and market conditions.

Hedge Funds are collective investment schemes to which the prescribed provisions of the Collective Investment Schemes Control Act (Act 45 of 2002) apply.