

STATUTORY DISCLOSURE NOTICE

CAEP Asset Managers (Pty) Ltd (CAEP Asset Managers) 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 **VALR DAM Proprietary Limited** as a Juristic Representative and authorised **Nicholas Antony Wright, Gianluca Sacco, and Farzam Riaz Ehsani** as its Representatives to provide Category I and II financial services (advice and/or intermediary services) in the following products. Where services are rendered under supervision, this is indicated with *.

Licence Product Categories	VALR DAM (Pty) Ltd	Nicholas Antony Wright, Gianluca Sacco & Farzam Riaz Ehsani
	Category I & II	Category I & II
Structured Deposits	x	x*
Securities and Instruments	x	x*
Participatory interest in a hedge fund	x	x*
Shares	x	x*
Money market instruments	x	x*
Debentures and securitised debt	x	x*
Warrants, certificates and other instruments	x	x*
Bonds	x	x*
Derivative instruments	x	x*
Participatory interests in a collective investment scheme	x	x*
Long-term Deposits	x	x*
Short-term Deposits	x	x*

FSP Name	CAEP Asset Managers (Pty) Ltd		
Registration No	2007/025932/07	FSP No.	33933
Licence Categories	Category I, II & IIA	Website	www.caeppartners.com
Business Address	Office 2, Dias Block, Fairway Green Office Park, 3 Abrey Road, Kloof, 3640	Registered Address & Postal Address	9 Insala Road, Kloof, Kwa-Zulu Natal, 3610
Responsible Key Individuals	Stephen Pratt (T: +44 74 500 28398) Shane Peters (T: +27 82 922 2220)	Compliance Officers	Masthead (Pty) Ltd (T: 011 602 0200) A Lombaard (T: +27 79 128 5580)

For more information regarding the Representatives (products, services under supervision etc.) visit the FSCA's website, or contact the FSP for a copy of the Representative Register.

FSP Licence Product Categories	Cat I	Cat II	Cat IIA		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	
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, Crypto Assets	x	x	x
Shane Peters	Long-term Insurance, Pension Fund Benefits & Investments	x	x	x
	Structured Deposits & Long-term & Short-term Deposits	x	x	

www.caeppartners.com

CAEP ASSET MANAGERS (PTY) LTD

Registration Number: 2007/025932/07

Directors: Stephen Robert Pratt | Nicola Anne Oates

FSP 33933 An Authorised Financial Services Provider

9 Insala Road, Kloof, 3610

Tel: +27(0)83 277 5473

Disclosure of Statutory Information

CAEP Compliance Department

Email: info@caeppartners.com

Tel: +27 (0)83 277 5473

Particulars of FAIS Ombud

Ground Floor, Block B, Sussex Office Park, 473 Lynnwood Road
Cnr Lynnwood Road & Sussex Ave, 0081

E-mail : info@faisombud.co.za

Tel: +27 12 470 9080 / +27 12 762 5000

Website: www.faisombud.co.za

- 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.
- No product suppliers receive more than 30% of our business.
- CAEP Asset Managers does not hold more than 10% of shares in any product suppliers.
- 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.
- CAEP Asset Managers hold sufficient professional indemnity cover.
- CAEP Asset Managers is exempted from paragraph 48(1) and (2) of the Fit and Proper Requirements in Board Notice 194 of 2017 until 31 December 2024.

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.

Any conflict of interest or potential conflict of interest

- There is no conflict of interest that we are currently aware of. Our Conflicts of Interest Management Policy is available on our website.

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.

Version: 1 August 2024

www.caeppartners.com