

The logo for Prowess Investment Managers features a stylized 'P' with an orange and grey geometric element to its left. The word 'PROWESS' is written in a large, bold, dark blue sans-serif font. Below it, the words 'INVESTMENT MANAGERS' are written in a smaller, dark blue, all-caps sans-serif font.

**PROWESS**  
INVESTMENT MANAGERS

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## 1. INTRODUCTION

In terms of the General Code of Conduct of the Financial Advisory and Intermediary Services (FAIS) Act, Prowess Investment Managers (Pty) Ltd (Registration number 2008/025155/07) is required to disclose the information in this document to you. You are therefore requested to read through the document carefully and sign the 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.

## 2. AUTHORISED FINANCIAL SERVICES PROVIDER

Prowess Investment Managers (Pty) Ltd is an authorized financial services provider (FSP number 38318) in terms of Section 8 of the FAIS Act. A copy of our license certificate is available on request. Our physical address is 20<sup>th</sup> Floor, 1 Thibault Square, 1 Long Street, Cape Town, 8001. Our postal address is Private Bag 15086, The Vlaeberg, contact person you must liaise with is Kelebogile Moloko, tel +27 (0)21565 0065, fax +27 (0)86 614 7173 or email kelebogile@prowessinvestments.com.

## 3. FINANCIAL SERVICES AND PRODUCTS

Prowess Investment Managers (Pty) Ltd is authorised to render intermediary financial services in respect of the following financial products:

**CATEGORY II - Discretionary FSP:** Securities and Instruments: Shares, Money Market instruments, Debentures and securitized debt, Warrants, Certificates and other documents, Bonds, Derivative instruments; Participatory interests in collective investment schemes; Long-term Deposits; Short-term Deposits.

## 4. AUTHORISED KEY INDIVIDUAL AND REPRESENTATIVES

The Financial Services Board has duly authorised the following key individual and representative to render financial services as defined in terms of the FAIS Act in respect of the financial products listed below:

Key individual: Kelebogile Moloko

Representative: Kelebogile Moloko  
Jacques Simpson

**CATEGORY II - Discretionary FSP:** Securities and Instruments: Shares, Money Market instruments, Debentures and securitized debt, Warrants, Certificates and other documents, Bonds, Derivative instruments; Participatory interests in collective investment schemes; Long-term Deposits; Short-term Deposits.

## **5. CONFLICT OF INTEREST MANAGEMENT POLICY**

Prowess Investment Managers (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 can also be obtained from Kelebogile Moloko, tel+27 (0)21565 0065 or email [kelebogile@prowessinvestments.com](mailto:kelebogile@prowessinvestments.com)

## **6. PRODUCT SUPPLIERS**

Prowess Investment Managers (Pty) Ltd does not make use of any product suppliers in rendering its services to clients.

## **7. SHAREHOLDING HELD IN PRODUCT PROVIDERS**

Prowess Investment Managers(Pty) Ltd does not hold any shareholding in any specific product supplier.

## **8. REMUNERATION RECEIVED FROM PRODUCT SUPPLIERS**

Prowess Investment Managers(Pty) Ltd does not receive any remuneration from any specific product supplier.

## **9. INDEMNITY COVER**

Prowess Investment Managers(Pty) Ltd holds Professional Indemnity and Fidelity cover.

## **10. FINANCIAL INTELLIGENCE CENTRE ACT (FICA)**

In terms of FICA, Prowess Investment Managers (Pty) Ltd is an accountable institution. 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.

## **11. COMPLAINTS**

Should you wish to pursue a complaint against a key individual or representative of Prowess Investment Managers (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, at [info@faisombud.co.za](mailto:info@faisombud.co.za) or telephone number 0860 324 766. 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.

**12. COMPLIANCE OFFICER**

Independent Compliance Services (Pty) Ltd (Registration number: 2003/020695/07) and Practice number 1258 acts as the compliance officer for Prowess Investment Managers (Pty) Ltd. Their physical address is Office 9, Heritage Square, Cnr Gladstone & Vrede St, Durbanville, 7551. The contact person is Mrs. D Carse, Tel 021 975 6597, Fax no. 086 628 4567 or email: debbi@complianceservices.co.za

**13. 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 unregulated financial products and do not comply with the provisions of the Collective Investment Schemes Control Act 45 of 2002. The Financial Services Board has not registered any hedge funds as officially approved investment vehicles. You have no formal recourse should you be dissatisfied with any aspect regarding the performance, administration or reporting of such instruments.

**14. CLIENT ACKNOWLEDGMENT**

I/We the undersigned hereby acknowledge receipt of this Disclosure Document and have read and understand the contents.

Signed:	.....	Signed:	.....
Print name:	.....	Print name:	.....
Date:	.....	Date:	.....