

DISCLOSURES IN TERMS OF THE FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT

AUTHORISED FINANCIAL SERVICES PROVIDER

Senqu Capital is an authorised financial services provider in terms of the Financial Advisory and Intermediary Services (FAIS) Act No.37 of 2002. In terms of the General Code of Conduct of FAIS, FSP is required to disclose the information in this document. Please read this document and sign the acknowledgement to confirm that you understand the content hereof

PARTICULARS OF FSP

Name:	Senqu Capital Proprietary Limited
Registration No:	2016/350865/07
FSP Number:	47666
Telephone Number:	+27 (0) 11 243 5059
Email:	andrew@senqucapital.com
Website:	www.senqucapital.com
Physical Address:	Building 1,4th Floor, Ilovo Edge Cnr Fricker & Harris Road, Ilovo 2196
Postal Address:	PO Box 61631, Marshalltown,2107
Contact Person:	Andrew Crawford

FINANCIAL SERVICES AND PRODUCTS

Senqu Capital is authorised to render discretionary financial services in respect of the following financial products:

CATEGORY II - Discretionary FSP

Long Term Insurance: Category C

Securities and Instruments: Shares

Securities and Instruments: Money market instruments

Securities and Instruments: Debentures and securities debt

Securities and Instruments: Warrants, certificates and other instruments

Securities and Instruments: Bonds

Securities and Instruments: Derivatives instruments

Participatory interests in Collective Investment Schemes

CATEGORY IIA – Hedge Fund FSP

AUTHORISED KEY INDIVIDUALS AND REPRESENTATIVES

The following individuals have been duly authorised by the Financial Services Board as key individuals and representatives to render financial services as defined in terms of the FAIS Act.

Key Individuals:

Stephen Carew

Andrew Crawford

Senqu Capital has the necessary controls and procedures in place as to ensure that the Key Individuals and Representative comply with the prescribed FAIS Fit and Proper Requirements (this includes experience, qualifications, regulatory examinations and honesty and integrity requirements). Senqu Capital accepts legal responsibility for those activities that the representative performed within the scope of implementing his/her employment contract or mandate

CONFLICT OF INTEREST MANAGEMENT POLICY

In accordance with Senqu Capital's conflicts management policy, we place a high priority on our clients' interests. As conflicts of interest affecting clients could undermine the integrity and professionalism of our business, any instances must be identified as early as possible. If conflict situations cannot be avoided, they must be managed equitably and in the client's interest. Detecting potential or recognised conflicts of interest that could compromise the interest of our clients and managing and limiting the impact of conflicts of interest therefore constitute an integral part of Senqu Capital's duties and obligations. Potential conflicts of interest are inherent in any business and therefore it is not our aim to avoid all conflicts but rather to take steps to identify and manage conflicts of interest to ensure that our clients are not unduly prejudiced. Senqu Capital maintains an active Conflicts of Interest Management Policy which is available on request. Senqu has no shareholding in any product supplier.

INDEMNITY COVER

Senqu Capital holds Professional Indemnity cover of R 5 000 000.00 (five million rand).

CONFIDENTIALITY

Where applicable all the personal information we have access to will be treated as confidential and will not be made available to third parties unless so authorised by the client beforehand or if Senqu Capital is required to divulge such information in the public interest or under any law.

FINANCIAL INTELLIGENCE CENTRE ACT 38 of 2001 (FICA)

Senqu Capital is an accountable institution and is required to comply with the provisions of FICA including but not limited to the obligation to report suspicious and unusual transactions that may facilitate money laundering to the authorities.

COMPLAINTS AND DISPUTE RESOLUTION

Should you have any complaints against a key individual or representative of Senqu Capital, please address all complaints in writing to the Compliance officer. The Compliance officer will acknowledge the complaint in writing and provide you with a response regarding your Complaint. To the extent that you are dissatisfied with the response referred to above, then you can contact the FAIS ombudsman at:

The Ombud for Financial Services

PO Box 74571

Lynwood

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Telephone: (012)4709080

Toll-free: 0860 324 766

E-mail: info@faisombud.co.za

PARTICULARS OF COMPLIANCE OFFICER

Name: Michael Denenga

Telephone Number: 0861 273 783

Email Address: mdenenga@corporatecounsel.co.za

RISK DISCLOSURE

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. If you are unsure of your investment decision relating to the suitability or appropriateness of our products in terms of your own personal circumstances, please contact your financial advisory investment professional.