

DISCLOSURE

Full business and trade names	M1 Capital Investment (Pty) Ltd	
Registration no.	2008/015250/07	
Physical address	Prescient, Katherine & West, 114 West Street, Sandton 2196	
Postal address	Postnet Suite 272, Private Bag X87, Bryanston 2021	
Telephone no.	+27 10 044 2600	
Fax no.		
E-mail	info@m1capital-funds.com	
Internet	www.m1capital-funds.com	
KEY INDIVIDUAL	Contact No.	E-mail address
Mr Ivan Missankov	+27 10 044 2600	info@m1capital-funds.com
MANAGEMENT		
Mr Ivan Missankov	+27 10 044 2600	-
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<p>2. M1 Capital Investment (Pty) Ltd certify that _____, representative Code, _____, is registered as an representative and has a service contract to represent M1 Capital Investment (Pty) Ltd. M1 Capital Investment (Pty) Ltd accepts responsibility for the activities that the abovementioned Representative performs within the scope of his/her contract of agreement.</p> <p>M1 Capital Investment (Pty) Ltd is satisfied that the Representative is competent to act when rendering a financial service on behalf of M1 Capital Investment (Pty) Ltd, taking into consideration the personal character qualities of honesty and integrity, and competence and operational ability, as defined in the Fit and Proper requirements.</p>		
<p>3. Compliance Officer: Mr Warren Neale, Tel no.: 0829236260 Fax no.: 0866631472 E-mail: warrenn@askaricompliance.com,</p>		
<p>4. External Compliance Officer: Askari Compliance Services cc, Registration No 2007/155193/23 FSB 4863, Contact: Warren Neale, Cell : 082 923-6260 Fax : 086 633-1472, E-mail: warrenn@executivemail.co.za.</p>		
5. DETAILS OF THE FINANCIAL SERVICES WHICH THE FSP IS AUTHORISED TO PROVIDE.		
The licence authorizes the licensee to carry on business in respect of :		
5.1.1 Financial Advisory Services as Financial Service Provider in respect of the following products:-		
Category Description	Advice	Intermediary
CATEGORY I		
Long-Term Insurance : Category A	X	X
Long-Term Insurance : Category B1	X	X
Long-Term Insurance : Category B2	X	X
Long-Term Insurance : Category C	X	X
Retail Pension Benefits	X	X
Pension Funds Benefits (excluding retail)	X	X
Securities and Instruments :Shares	X	X

	Securities and Instruments : Money market instruments	X	X
	Securities and Instruments : Debentures and securitised debt	X	X
	Securities and Instruments : Warrants, certificates and other instruments	X	X
	Securities and Instruments : Bonds	X	X
	Securities and Instruments : Derivative instruments	X	X
	Participatory interests in Collective Investment Schemes	X	X
	CATEGORY II - Discretionary FSP		
	Long-Term Insurance : Category B1		X
	Long-Term Insurance : Category B2		X
	Long-Term Insurance : Category C		X
	Retail Pension Benefits		X
	Pension Funds Benefits (excluding retail pension benefits)		X
	Securities and Instruments : Shares		X
	Securities and Instruments : Money market instruments		X
	Securities and Instruments : Debentures and securitised debt		X
	Securities and Instruments : Warrants, certificates and other instruments		X
	Securities and Instruments : Bonds		X
	Securities and Instruments : Derivative instruments		X
	Participatory interests in Collective Investment Schemes		X
	<p>5.2.1 Conditions and Restrictions: The financial service provider must inform the registrar in writing, by facsimile or in an appropriate electronic format, within the fifteen days after the change has taken place, of any change in respect of business information of the financial services provider as provided in form FSP1, FSP3, FSP4, FSP9, FSP10, FSP10A, OR FSP11, respectively of the application from which was submitted by the provider for the business of obtaining a license, and in particular relating to the providers representatives, auditor, compliance officer or any foreign clearing firm or foreign Forex service provider involved (if any) and nominee company or independent custodian involved or the shareholders, directors to trustees of any such company or custodian (if any)</p>		
DISCLOSURE	<p>5.3.2 The financial service provider must at all times during the currency of the providers license maintain the services of any key individual or key individuals mentioned in the information submitted on the said application formant must as regards changes in respect of such information relating to a key individual or the appointment of a new key individual of the provider in addition to acting also in such cases in accordance with the procedure and time limit set out in Condition 1.also ensure full compliance with section 8(4)(b) of the Act, the provisions of which must be regarded as concluded in this Condition.</p>		
	<p>5.3.3 The financial service provider must within one month of the date contemplated in section 7 of the Act, submit a copy of the register in terms of section 13(3) of the Act to the registrar, and must thereafter in accordance with the procedure and time limit set out in Condition 1, inform the registrar of any change effected the details as contained in that register.</p>		

5.3.4 The Financial service provider must not in any manner change the name of the financial services business under such a changed name, unless (a) the provider has fully complied with the provisions of any other law than the Act that regulates such change of business name (if any), (b) the provider has fully disclosed to the Registrar the details of such compliance with such other law, (c) the Registrar is satisfied that such change of name is otherwise lawful and has approved such change of name and (d) the Registrar has issued to the provider an appropriately amended license under the provisions of section 8(5)(b)(l) of the Act.

5.3.5 The financial service provider must at all times ensure that any financial product in respect of which the provider intends to render a financial service, qualifies as a financial product contemplated in the Act and is or will be lawfully issued by the relevant product supplier by virtue of an authority, approval or right granted to such supplier under a law as contemplated in the definition of "product supplier" in section 1(1) of the Act.

6. GUARANTEES, PROFESSIONAL INDEMNITY, FIDELITY AND INSURANCE

The abovementioned Representative holds the following cover:	Professional indemnity	YES
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7. SERVICES UNDER SUPERVISION

Does the abovementioned representative render financial services under supervision as defined in the determination of the Fit and Proper requirements?	YES/NO
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Under supervision of consultant (name)	
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Contact details :	
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8. EXEMPTIONS	No specific exemptions or the existence of any exemptions have been granted or made by the registrar with regard to any matter covered by the Act.
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9. FAIS OMBUD DETAILS	FAIS Ombud: Brigalia Bam, Tel no.: 012 470-9080, Fax no.: 012 470-9098, Physical address: Eastwood Office Park, Ground Floor c/o Lizjohn and Lynnwood Road, Lynnwood Ridge, 0181, Postal address: PO Box 74571, Lynnwood Ridge, 0040
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10. SHAREHOLDING	M1 Capital Investments (Pty) Ltd and its Director do not hold a shareholding of more than 10% in any third party entities.
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11. REMUNERATION PROFILE	In the preceding 12 months, I the representative have received more than 30% in total remuneration from the product supplier. YES / NO
	M1 Capital Investment (Pty) Ltd declares that their main income is derived from investment management services.