



In terms of the General Code of Conduct of the FAIS Act, Aeon Investment Management (Pty) Ltd (Registration number 2005/013315/07) 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.

LICENSE STATUS

Aeon Investment Management (Pty) Ltd ("Aeon") is an authorised Financial Services Provider in terms of FAIS [FSP No. 27126]. A copy of our license is available upon request.

FINANCIAL SERVICES AND PRODUCTS

Aeon is authorised to render financial services as defined in terms of the FAIS Act in respect of the following financial products:

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes; Long-term deposits; Short-term deposits

Category II – Discretionary FSP: Long-term Insurance: Category B1 & B2; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes.

Category IIA – Hedge Fund FSP

AUTHORISED KEY INDIVIDUALS AND REPRESENTATIVES

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

Key individual & Representative: Asief Mohamed

BCom CA (SA), CFA

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes; Long-term deposits; Short-term deposits

Category II – Discretionary FSP: Long-term Insurance: Category B1 & B2; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes.

Category IIA – Hedge Fund FSP

Key individual & Representative: Jay Vomacka

CFA, BSc (Eng)(Elec), MSc (Eng)(Industrial), CFTe (IFTA, London)

CATEGORY I – Advisory FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Participatory interests in collective investment schemes; Long-term deposits; Short-term deposits.

CATEGORY I – Intermediary FSP: Long-term insurance: Category A; Long-term Insurance: Category B1; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes, Long-term deposits; Short-term deposits.

CATEGORY II – Discretionary FSP: Long-term insurance: Category B1; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes.

CATEGORY IIA – Hedge Fund FSP

Representative under Supervision: Sumayah Anthony

BCom Hons (Finance & Investments)

CATEGORY I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term insurance: Category B1; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes; Long-term deposits; Short-term deposits.

CATEGORY II – Discretionary FSP: Long-term insurance: Category B1; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes.

CATEGORY IIA – Hedge Fund FSP

Representative under Supervision: Courtney Clarke

BCom Hons (Finance & Investments)

CATEGORY I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term insurance: Category B1; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes; Long-term deposits; Short-term deposits.

CATEGORY II – Discretionary FSP: Long-term insurance: Category B1; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes.

CATEGORY IIA – Hedge Fund FSP

Representative under Supervision: Tshego Modise

BCom. Accounting and Advanced Postgraduate Diploma in Investment Planning

CATEGORY I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term insurance: Category B1; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes; Long-term deposits; Short-term deposits.

CATEGORY II – Discretionary FSP: Long-term insurance: Category B1; Long-term Insurance: Category C; Retail Pension Benefits; Pension Fund Benefits; Securities and Instruments: Shares, Money market instruments, Debentures and securitised debt, Warrants, Certificates and other instruments, Bonds, Derivative Instruments; Participatory interests in collective investment schemes.

CATEGORY IIA – Hedge Fund FSP

CONFLICTS OF INTEREST

Aeon 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 Aeon at www.aeonim.co.za. The conflict of interest management policy can also be obtained from Asief Mohamed on 021 204 6061.

INDEMNITY COVER

Aeon Investment Management (Pty) Ltd holds Professional Indemnity and Fidelity cover.

COMPLIANCE OFFICER

Independent Compliance Services (Pty) Ltd (Registration number: 2003/020695/07) and Practice number 1258 acts as the compliance officer for Aeon. Their physical address is Office 9, Heritage Square, C/O Gladstone and Vrede St, Durbanville, 7551. The contact person is Mr HA Goosen, tel 021 975 6468, fax 086 628 4567 or email: enrique@complianceservices.co.za

FINANCIAL INTELLIGENCE CENTRE ACT (FICA)

In terms of FICA, Aeon Investment Management (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.

COMPLAINTS

Should you wish to pursue a complaint against a key individual or representative of Aeon Investment Management (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. The Ombud has been created to provide you with a redress mechanism for any inappropriate financial service that you feel may have been given to you by a financial services provider.

OMBUD CONTACT DETAILS:

PO Box 74571, Lynnwood Ridge, 0040 • Tel 012 470 9080 • Fax +27(12) 348 3447 • info@faisombud.co.za • www.faisombud.co.za

PRODUCT SUPPLIER:

Aeon does not market the products of product suppliers.

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.

CLIENT ACKNOWLEDGEMENT

I the undersigned hereby acknowledge receipt of this disclosure document and have read and understood the contents.

Signed _____ Print Name _____ Date _____

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