



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: B1-A & B2-A; Structured Deposits, Participatory interest in a hedge fund; 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; Participatory interest in a hedge fund; Long-term Insurance: Category C; Long-term Insurance: B1-A & B2-A; 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 Conduct Authority has duly authorised the following key individual/s and representative/s that are contracted employees of Aeon Investment Management (Pty) Ltd 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

**Date Appointed: 06 May 2005**

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: B1-A & B2-A; Structured Deposits, Participatory interest in a hedge fund; 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; Participatory interest in a hedge fund; Long-term Insurance: Category C; Long-term Insurance: B1-A & B2-A; 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)

**Date Appointed: 15 January 2013**

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: B1-A & B2-A; Structured Deposits, Participatory interest in a hedge fund; 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; Participatory interest in a hedge fund; Long-term Insurance: Category C; Long-term Insurance: B1-A & B2-A; 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: Sumayah Anthony**

BCom General, BCom Hons (Finance & Investments)

**Date Appointed: 05 January 2015**

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: B1-A & B2-A; Structured Deposits, Participatory interest in a hedge fund; 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; Participatory interest in a hedge fund; Long-term Insurance: Category C; Long-term Insurance: B1-A & B2-A; 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: Courtney Clarke**

BCom General, BCom Hons (Finance & Investments)

**Date Appointed: 05 January 2015**

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: B1-A & B2-A; Structured Deposits, Participatory interest in a hedge fund; 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; Participatory interest in a hedge fund; Long-term Insurance: Category C; Long-term Insurance: B1-A & B2-A; 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. Acc, PG Dip in Investment Planning

**Date Appointed: 02 May 2017**

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: B1-A & B2-A; Structured Deposits, Participatory interest in a hedge fund; 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; Participatory interest in a hedge fund; Long-term Insurance: Category C; Long-term Insurance: B1-A & B2-A; 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: Tinyiko Mabunda**

BSc Human Physiology; PGA Dip: Acc Conversion Course; Hons FAPM

**Date Appointed: 23 May 2018**

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: B1-A & B2-A; Structured Deposits, Participatory interest in a hedge fund; 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; Participatory interest in a hedge fund; Long-term Insurance: Category C; Long-term Insurance: B1-A & B2-A; 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 under Supervision: Zaid Paruk**

BCom Acc, CA (SA)

**Date Appointed: 13 August 2018**

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: B1-A & B2-A; Structured Deposits, Participatory interest in a hedge fund; 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; Participatory interest in a hedge fund; Long-term Insurance: Category C; Long-term Insurance: B1-A & B2-A; 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

**Date Appointed:** 01 July 2019

Category I – Advisory and Intermediary FSP: Long-term Insurance: Category A; Long-term Insurance: Category B1 & B2; Long-term Insurance: B1-A & B2-A; Structured Deposits, Participatory interest in a hedge fund; 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; Participatory interest in a hedge fund; Long-term Insurance: Category C; Long-term Insurance: B1-A & B2-A; 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](http://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 Ms C De Jager, tel 021 975 6597 or email: [Christelle@complianceservices.co.za](mailto:Christelle@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](mailto:info@faisombud.co.za) • [www.faisombud.co.za](http://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 \_\_\_\_\_

*Aeon Investment Management (Pty) Ltd (FSP 27126)*

**Physical Address**

4th Floor, The Citadel, 15 Cavendish Street,  
Claremont, 7708

Tel: 021 204 6061

Email: [Asief.mohamed@aeonim.co.za](mailto:Asief.mohamed@aeonim.co.za)

**Postal Address**

P.O.Box 24020, Claremont, 7735