

*FSP Name	Prime Fund Services (Pty) Ltd	Licence Categories	Cat I Advice	Cat I Intermediary Services	Cat II Discretionary	Cat IIA	Cat III Administrative
Registration Number	2005/005956/07	Long-term Insurance subcategory A		X			
		Long-term Insurance subcategory B1, B2, B1-A, B2-A and C		X			
		Warrants, certificates and other instruments		X			
Licence Details	FSP Category I FSP 42255 Private company with limited liability	Money market instruments		X			
		Retail Pension Benefits		X			
		Pension Funds Benefits		X			
		Securities and Instruments		X			
Compliance Officers	Ruan de Jonge (7754) <a href="mailto:rdejonge@primeinvestments.africa">rdejonge@primeinvestments.africa</a> Ivan Dabrowski (8105) <a href="mailto:idabrowski@primeinvestments.africa">idabrowski@primeinvestments.africa</a>	Debentures and securitised debt		X			
		Participatory interest in a hedge fund		X			
		Bonds		X			
		Shares		X			
Responsible Key Individual and Contact Details	Shane Peters +27 10 594 2118 <a href="mailto:speters@primeinvestments.africa">speters@primeinvestments.africa</a> Jacques Zaayman +27 10 594 2130 <a href="mailto:jzaayman@primeinvestments.africa">jzaayman@primeinvestments.africa</a>	Derivative instruments (excluding warrants)		X			
		Participatory Interests in Collective Investment Schemes		X			
		Friendly Society Benefits		X			
*FSP Name	Prime Product Services (Pty) Ltd	Licence Categories	Cat I Advice	Cat I Intermediary Services	Cat II Discretionary	Cat IIA	Cat III Administrative
Registration Number	2007/030489/07	Long-term Insurance subcategory A	X	X			
Licence Description	FSP Category I, II, IIA, III 13B Administrator Private company with limited liability	Long-term Insurance subcategory B1, B2, B1-A, B2-A and C	X	X	X	X	X
		Structured Deposits	X	X	X	X	X
		Retail Pension Benefits	X	X	X	X	X
		Pension Fund Benefits (excluding retail pension benefits)	X	X	X	X	X
Licence Details	FSP 43521 13B 24/665	Securities and Instruments	X	X	X	X	X
		Shares	X	X	X	X	X
Compliance Officers	Ivan Dawbrowski (8105) <a href="mailto:idabrowski@primeinvestments.africa">idabrowski@primeinvestments.africa</a> Ruan de Jonge (7754) <a href="mailto:rdejonge@primeinvestments.africa">rdejonge@primeinvestments.africa</a> Lee-Anne Torres (7352) <a href="mailto:ltorres@aospartner.com">ltorres@aospartner.com</a> Salomy Schoeman (188) <a href="mailto:sschoeman@moonstonecompliance.co.za">sschoeman@moonstonecompliance.co.za</a> Nelda de Jager (188) <a href="mailto:ndejager@moonstonecompliance.co.za">ndejager@moonstonecompliance.co.za</a>	Money market instruments	X	X	X	X	X
		Friendly Society Benefits	X	X			
		Debentures and securitised debt	X	X	X	X	X
		Warrants, certificates & other instruments	X	X	X	X	X
		Bonds	X	X	X	X	X
		Derivative instruments (excluding warrants)	X	X	X	X	X

Prime Group License Disclosure

	Charl Groenewald (188) <a href="mailto:cgroenewald@moonstonecompliance.co.za">cgroenewald@moonstonecompliance.co.za</a>						
Responsible Key Individual and Contact Details	Shane Peters +27 10 594 2118 <a href="mailto:speters@primeinvestments.africa">speters@primeinvestments.africa</a> Jacques Zaayman +27 10 594 2130 <a href="mailto:jzaayman@primeinvestments.africa">jzaayman@primeinvestments.africa</a>	Participatory interest in a hedge fund	X	X	X	X	X
		Participatory Interests in Collective Investment Schemes	X	X	X	X	X
		Long-term and Short-Term Deposits	X	X	X	X	X

\*FSP: Financial Services Provider (FSP) referred to further in this document as "we" or "us"

*FSP Name	Prime Capital Markets (Pty) Ltd	Licence Categories	Cat I Advice	Cat I Intermediary Services	Cat II Discretionary	Cat III Administrative
Registration Number	2023/897150/07	Money Market instruments	X	X		
Licence Description	FSP Category I	Structured Deposits	X	X		
Licence Details	FSP 53796 Private company with limited liability	Derivative instruments (excl. Warrants)	X	X		
		Long-Term Deposits	X	X		
Compliance Officer	Ruan de Jonge (7754) <a href="mailto:rdejonge@primeinvestments.africa">rdejonge@primeinvestments.africa</a> Ivan Dabrowski (8105) <a href="mailto:ldabrowski@primeinvestments.africa">ldabrowski@primeinvestments.africa</a>	Short-Term Deposits	X	X		
Responsible Key Individual & Contact Details	Shane Peters <a href="mailto:speters@primeinvestments.africa">speters@primeinvestments.africa</a> +27 10 594 2118					
Business Address	28 Peter Place, Lyme Park, Sandton					
Postal Address	PostNet Suite 208, Private Bag x 9 Benmore 2010					
Telephone No.	010 594 2100	For more information regarding the Representatives of the three FSP's (products, services under supervision etc.) visit the FSCA's website, or contact the FSP for a copy of the Representative Register.				
Website	<a href="http://www.primeinvestments.co.za">www.primeinvestments.co.za</a>					

Company Name	Prime Collective Investment Schemes Management Company (RF) (Pty) Ltd (Prime CIS)
Registration Number	2005/017098/07
Licence Description	Manager of a Collective Investments Scheme in Securities and Hedge
Compliance Officer	Ivan Dabrowski <a href="mailto:ldabrowski@primeinvestments.africa">ldabrowski@primeinvestments.africa</a> T: 010 594 2124

Retirement Funds
Prime Retirement Annuity Fund - Registration Number: 12/8/37925
Prime Preservation Pension Fund - Registration Number: 12/8/37924
Prime Preservation Provident Fund - Registration Number: 12/8/37926
Prime Unclaimed Benefit Preservation Pension Fund - Registration Number: 12/8/38062
Prime Unclaimed Benefit Preservation Provident Fund - Registration Number: 12/8/38061

<b>Company Name</b>	<b>PIM Capital Fund Services (PIM)</b>
<b>Company Number</b>	126061 C1/GBL
<b>Licence Number</b>	C114013529
<b>Licence Description</b>	CIS Manager, licensed under Section 98 of the Securities Act 2005
<b>Regulatory Authority</b>	Authorised by the Mauritius Financial Services Commission under Section 72(6) of the Financial Services Act 2007
<b>Business Address</b>	Ground Floor, Ebene House, 33 Hotel Avenue, Cybercity, Ebene, Mauritius
<b>Tel No.</b>	+230 460 8538
<b>Website</b>	<a href="http://www.pimcapital.mu">www.pimcapital.mu</a>

<b>Company Name</b>	<b>Prime Collective Investments (Prime CIU)</b>
<b>Registration Number</b>	Registered with the Non-Bank Financial Institutions Regulatory Authority in terms of the Collective Investment Undertakings Act (Cap 56:09)
<b>Licence Description</b>	Licensed to operate as a Unit Trust Management Company
<b>Business Address</b>	Office 13, 1st Floor, The Office, Fairgrounds, Gaborone, Botswana
<b>Postal Address</b>	PO Box 1839, Gaborone, Botswana
<b>Tel No.</b>	+267 390 2779
<b>Website</b>	<a href="http://www.prime.co.bw">www.prime.co.bw</a>

<b>Company Name</b>	<b>Prime Independent Nominees (RF) (Pty) Ltd</b>
<b>Registration Number</b>	2012/187969/07
<b>Licence Description</b>	Authorised Nominee (FAIS)
<b>Responsible Person and Contact Details</b>	Jacques Zaayman +27 10 594 2130
<b>Business Address</b>	28 Peter Place, Lyme Park, Sandton, 2060
<b>Postal Address</b>	PostNet Suite 208, Private Bag x 9, Benmore, 2010
<b>Tel. No</b>	+27 10 594 2100
<b>Website</b>	<a href="http://www.primeinvestments.co.za">www.primeinvestments.co.za</a>

### FAIS Disclosure

- The FSP's accept responsibility for their own actions as well as the actions of their representatives while acting in the course and scope of their employment and authorisation by the FSP's.
- The FSP's and its representatives will uphold their obligation in maintaining client confidentiality.
- No insurers receive more than 30% of our business.
- The FSP's don't hold more than 10% of shares in any product provider.
- Certain representatives are required to render advice or intermediary services under supervision. Further details will be provided on request or can be obtained from the FSCA's website – [www.fsca.co.za](http://www.fsca.co.za)
- At this stage there have been no special exemptions granted to the FSP's by the FSCA.
- The FSP's and Nominee Company holds sufficient professional indemnity cover and fidelity cover.

### CIS Disclosure

- Prime Collective Investment Schemes Management (RF) (Pty) Ltd is a registered Collective Investment Scheme Manager in terms of Section 5 of the Collective Investment Schemes Control Act and is a wholly owned subsidiary of Prime Financial Services (Pty) Ltd, a member of ASISA.
- Collective Investment Schemes ("CIS") in securities are generally medium to long term investments. The value of participatory interests or the investment may go down as well as up. Past performance is not necessarily a guide to future performance. The manager does not provide any guarantee either with respect to the capital or the return of a portfolio. All CIS are traded at ruling prices and can engage in borrowing and scrip lending.
- A schedule of fees and charges and maximum commissions is available on request from the manager. Performance is calculated for the portfolio and that the individual investor performance may differ as a result of initial fees, the actual investment date, the date of reinvestment and dividend withholding tax. The investment performance is for illustrative purposes only. The investment performance is calculated by taking the actual initial fees and all ongoing fees into account for the amount shown.
- Income is reinvested on the reinvestment date. The manager has the right to close the portfolio to new investors in order to manage it more efficiently in accordance with its mandate. Identifies the manager who published/caused the ad to be published.
- This document should not be seen as an offer to purchase any specific product and does not constitute a solicitation, invitation or investment recommendation. This document should not be construed as advice or guidance in any form whatsoever. Investors should take cognisance of the fact that there are risks involved in buying or selling any financial product and are encouraged to obtain independent professional investment and taxation advice.

### Signing of incomplete documents

You are hereby advised and cautioned that no person acting on behalf of the FSP's may in the course of rendering a financial service, request you to sign any written or printed document prior to completion thereof.

### Responsibility for accurate and complete information

- Please note that in respect of any application, proposal, order, instruction or other contractual information that is required to be completed for, or submitted to a product supplier by or on your behalf that relates to the purchase of or investment in any financial product, including any amendment thereof or variation thereto, all material facts must be accurately and properly disclosed and the accuracy and completeness of all answers, statements or other information provided by you or on your behalf are your own responsibility.
- If any person completes or submits any application, proposal, order, instruction or other contractual information that is required to be completed for, or submitted to, a product supplier by you or on your behalf that relates to the purchase of or investment in any financial product, including any amendment thereof or variation thereto on your behalf, you should be satisfied as to the accuracy and completeness of the details.
- Any misrepresentation or non-disclosure of a material fact or the inclusion of incorrect information could result in the cancellation of the transaction or the non-payment of a benefit by the product supplier.

### Any conflict of interest or potential conflict of interest

There is no conflict of interest that we are currently aware of. Our Conflicts of Interest Management Policy is available on our website.

### Waiver of rights

No person may ask you or offer any inducement for you to waive any right or benefit conferred on you by or in terms of any provision of the General Code of Conduct of the FAIS Act.

### Complaints

#### Group Compliance Department

Email: [complaints@primeinvestments.africa](mailto:complaints@primeinvestments.africa)

#### Particulars of FAIS Ombud

125 Dallas Avenue, Menlyn Central, Waterkloof Glen, Pretoria 0010

E-mail: [info@faisombud.co.za](mailto:info@faisombud.co.za)

Tel: +27 12 762 5000

Website: [www.faisombud.co.za](http://www.faisombud.co.za)

Please note that prior to lodging a complaint with the above authorities, you are required to lodge a complaint with the relevant FSP and only after confirmation by the FSP that they are unable to resolve the complaint may it be escalated to applicable authorities. Please refer to our Complaints Policy available on the website.