

# FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT (FAIS) ACT 37 OF 2002



The General and Discretionary Code of Conduct has specific duties that relate to members of the industry and includes the need for financial services providers to furnish certain information to their clients. In compliance thereof, the following information is disclosed:

## FINANCIAL SERVICES PROVIDER DETAILS:

Name: Coreshares Asset Management (Pty) Ltd (Coreshares)  
FSP Number: 46695  
Licence Information: Category I and II  
Key Individual(s): Gareth Stobie

As an authorised financial services provider, Coreshares is licensed to carry on business in respect of advisory and intermediary services in the following products:

### Category I

Securities and Instruments: shares  
Securities and Instruments: money market instruments  
Securities and Instruments: debentures and securitised debt  
Securities and Instruments: bonds  
Participatory interests in Collective Investment Schemes  
Long-term deposits  
Short-term deposits

### Category II (Discretionary)

Securities and Instruments: shares  
Securities and Instruments: money market instruments  
Securities and Instruments: bonds  
Participatory interests in Collective Investment Schemes  
Long-term deposits  
Short-term deposits

## INSURANCE

Coreshares holds Crime and Civil Liability (Professional Liability) insurance.

## COMPLAINT RESOLUTION POLICY AND PROCEDURES

Coreshares has a board-approved complaint resolution policy with detailed procedures. A copy of the aforementioned policy is available from this office on request. Please see the Compliance Officer's details and Complaints email address below.

## WAIVER OF RIGHTS

You are hereby advised that no representative of the provider or any other person may ask you, or offer any inducement to you, to waive any right or benefit conferred on you by, or in terms of, any provision of the General Code of Conduct.

## RECORDED TELEPHONE LINES

Telephone conversations may be recorded.

## INSTRUCTIONS

Please be advised of the risks associated with giving Coreshares instructions telephonically, by facsimile or by e-mail. Clients hereby accept all risks involved and indemnify and hold Coreshares harmless against any, and all, claims arising from instructions given in this manner. Coreshares may take certain security precautions including the recording of telephonic instructions.

## SIGNING OF INCOMPLETE DOCUMENTS

No person acting on behalf of Coreshares may, in the course of rendering a financial service, request clients to sign any written or printed form or document unless all details required to be inserted thereon by or on behalf of the client have already been inserted.

## CODES OF CONDUCT

Copies of the Codes of Conduct (General and Discretionary) are available on request.

The representatives of Coreshares do not have any personal interest in the financial service rendered or in any product supplier. Any circumstance which gives rise to an actual or potential conflict of interest in relation to the financial service will be disclosed to the client and representatives will take all reasonable steps to ensure clients are fairly treated. Coreshares maintains a Conflict of Interest Management Policy which manages and limits the impact of any conflict and constitutes an integral part of Coreshares' duties and obligations. Potential conflicts are inherent in any business and it is Coreshares' aim to take steps to identify and manage conflicts to ensure that clients are not unduly prejudiced. In addition, representatives do not receive non-cash incentives and/or other indirect consideration which may be viewed as a potential conflict of interest. A copy of the aforementioned policy is available from this office on request.

## EXEMPTIONS

Exemption of FSPs as regards to representatives (BN 95 of 2003).

Exemption of licensees as regards display of certified copies of licences (BN 40 of 2004).

**FAIS REPRESENTATIVES**

Employees that offer clients any financial services are FAIS representatives mandated to do so by Coreshares and should present their representative certificate prior to offering any financial services to clients.

**TREATING CUSTOMERS FAIRLY**

The Directors, Management and Staff of Coreshares are committed to offering clients the highest standards of service and, in doing so, support the Financial Sector Conduct Authority's initiative of Treating Customers Fairly ('TCF'). By supporting the TCF initiative we ensure that the outcomes of TCF are applied in all areas of our business activities.

In adopting the TCF outcomes we recognise that the fair treatment of clients is about adding value to the service we offer by protecting the interests of clients at each stage of the product life cycle and meeting the needs of clients by offering a transparent, efficient and professional service, constantly reviewed to identify areas for improvement.

**FINANCIAL INTELLIGENCE CENTRE ACT**

In terms of the above Act, Coreshares is obliged to report any suspicious and/or unusual transaction that may facilitate money laundering.

**CONTACT DETAILS****Compliance Department**

Contact: Mandla Hendricks  
 Address: P O Box 78011  
 Sandton  
 2146  
 Telephone: 011 459 1895  
 Facsimile: 011 388 2341  
 Complaints: [compliance@coreshares.co.za](mailto:compliance@coreshares.co.za)

**FAIS Ombudsman**

Address: Kasteel Park Office Park,  
 Orange Building, Second Floor,  
 c/o Nossob and Jochemus Street,  
 Erasmus Kloof, Pretoria, 0048  
 Telephone: 012 470 9080 / 012 762 5000  
 Facsimile: 086 611 7589  
 012 348 3447 / 012 470 9097  
 Email : [info@faisombud.co.za](mailto:info@faisombud.co.za)

**Coreshares Asset Management (Pty) Ltd**

Physical Address: Fourth Floor, Grindrod Tower,  
 8A Protea Place, Sandton, 2146  
 Postal Address: PO Box 78011  
 Sandton  
 2146  
 Web: [www.coreshares.co.za](http://www.coreshares.co.za)  
 Tel: 011 459 1866  
 Fax: 011 388 2341

**CLIENT ACKNOWLEDGEMENT OF  
FAIS DISCLOSURE DOCUMENT****INDIVIDUALS**

I the undersigned, \_\_\_\_\_ hereby confirm that I have received the disclosure information and any other documentation stipulated herein.

**LEGAL ENTITIES**

I the undersigned, \_\_\_\_\_ on behalf of \_\_\_\_\_ hereby confirm that I have received the disclosure information and any other documentation stipulated herein.

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 SIGNATURE

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 DATE