



INDEPENDENT ALTERNATIVES INVESTMENT MANAGERS (PTY) LTD

"THE COMPANY"

**DISCLAIMER & DISCLOSURE DOCUMENT**

June 2023

A. DISCLAIMER

**1. DISCLAIMER**

Investors should take cognisance of the fact that there are risks involved in buying or selling any financial product, and past performance of a financial product is not necessarily indicative of its 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.

In February 2015, the South African Minister of Finance declared that hedge funds should be regulated as Collective Investment Schemes (Unit Trusts). This means that in conjunction with the present requirement for hedge fund managers to hold a license from the Financial Services Board, the funds they manage will in due course be of such a form that they comply with the provisions of the Collective Investments Schemes Control Act Number 45 of 2002. The final date for conformance with the related requirements specified under the Board Notice 52 is not determinable at this point in time. Hedge Funds are collective investment schemes to which the prescribed provisions of the Collective Investment Schemes Control Act (Act 45 of 2002) apply.

The information and documentation presented on this site do not constitute a solicitation, invitation, or investment recommendation, and prior to selecting a financial product or fund it is recommended that investors seek specialised financial, legal and tax advice. The laws of

the Republic of South Africa shall govern any claim relating to or arising from the contents of this site. INDEPENDENT ALTERNATIVES INVESTMENT MANAGERS PROPRIETARY LIMITED (2015/267783/07) is an authorised financial services provider (FSP license number 47402) in terms of the Financial Advisory and Intermediary Services Act, 2002 (Act No. 37 of 2002) (FAIS).

## **B. DISCLAIMER**

### **1. INTRODUCTION**

In terms of the General Code of Conduct of the Financial Advisory and Intermediary Services (FAIS) Act, Independent Alternatives Investment Managers (Pty) Ltd ("The Company"), (Registration number: 2015/267783/07) 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.

### **2. AUTHORISED FINANCIAL SERVICES PROVIDER**

Independent Alternatives Investment Managers is an authorised financial services provider (FSP number 47402) in terms of Section 8 of the FAIS Act. Our address is 42 Homestead Road, River Park, Jupiter House, Rivonia, 2191.

### **3. FINANCIAL SERVICES AND PRODUCTS**

The Company is authorised to render intermediary and discretionary financial services in respect of the following financial products:

CATEGORY I - Retail Pension Benefits, Shares, Money market instruments, Debentures and securitized debt, Warrants, Certificates and other instruments, Participatory interests in a collective investment scheme, Participatory interests in a hedge fund.

CATEGORY II - Discretionary FSP: Securities and Instruments: Shares, Money market instruments, Debentures and securitized debt, Bonds, Derivative instruments, Participatory interests in one or more collective investment schemes.

CATEGORY IIA – Hedge Fund FSP

### **4. AUTHORISED KEY INDIVIDUAL AND REPRESENTATIVE**

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

Key individual: Grant Hogan and Tatenda Chapinduka

Representatives: Grant Hogan, Tatenda Chapinduka and Ziyanda Zulu (under supervision)

The Conflict Of Interest management policy is published on the website of The Company at [www.independentalternatives.co.za](http://www.independentalternatives.co.za)

## **5. FINANCIAL INTELLIGENCE CENTRE ACT (FICA)**

In terms of FICA, IA 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.

## **6. COMPLAINTS**

Should you wish to pursue a complaint against a key individual or representative of IA, 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, at [info@faisombud.co.za](mailto:info@faisombud.co.za) or telephone number 0860 324 766. The Ombud has been created to provide you with a redress mechanism for any inappropriate financial advice that you feel may have been given to you by a financial services provider.

## **7. COMPLIANCE OFFICER**

The Company has appointed Johan Van Zyl, an FCSA approved Compliance Officer to act as its compliance officer for. The contact details are:

Johan Van Zyl / Outsourced Compliance Services (CO 6443)

Telephone: 010 003 0730

E-mail: [Johan@outsourcedcompliance.co.za](mailto:Johan@outsourcedcompliance.co.za)

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