

INDEPENDENT ALTERNATIVES INVESTMENT MANAGERS (PTY) LTD

"THE COMPANY"

DISCLAIMER & DISCLOSURE DOCUMENT

REVISED: 30 June 2025

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: 3001 Winnie Mandela Drive, Parc Nicol Office Park, Building 7, Ground Floor, Bryanston, Johannesburg, 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, Ziyanda Zulu (under supervision) and Kgaugelo Mphahlele (under supervision) and Diketso Phokungwane (under supervision).

The Conflict of Interest management policy is published on the website of The Company at 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 Independent Alternatives Investment Managers, 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 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 Outsourced Compliance Services (Pty) Ltd (Registration number 2017/394441/07 and Practice number 7154) to act as its compliance officer for.

Johan Van Zyl, Frikkie Steenkamp and Michael Phiri serve as the Company's FCSA approved Compliance Officers. The contact details are:

Telephone number:

Johannesburg office : +27 (0)11 861 3838

Cape Town office : +27 (0)21 330 5782

E-mail : info@outsourcedcompliance.co.za

8. 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.

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