

FAIS DISCLOSURE DOCUMENT

1 INTRODUCTION

In terms of the General Code of Conduct of the FAIS Act, Pi Investment Managers (Pty) Ltd (Registration number 2005/005991/07) is required to disclose the information in this document to you as an authorised Financial Services Provider.

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 and to request a copy of our FSP license certificate.

2 FINANCIAL SERVICE PROVIDER AND CONTACT DETAILS

Pi Investment Managers (Pty) Ltd is an authorised financial services provider (FSP number 20293) in terms of Section 8 of the FAIS Act.

FSP Name	Pi Investment Managers (Pty) Ltd
Registration number	2005/005991/07
FSP license number	20293
Postal address	PO Box 3378, Rivonia, 2196
Physical address	28 Peter Place, Lyme Park, Johannesburg
Legal status	Private Company
Telephone number	010 594 2100
Email address	info@piinvest.co.za

3 COMPLIANCE OFFICER

Name	Outsourced Compliance Services (Pty) Ltd (Registration number 2017/394441/07 and Practice number 7154)
Physical address	Johannesburg address: Office 4, Nedbank Building, 135 Rivonia Road, Sandown, Sandton, Gauteng, South Africa, 2196 Cape Town address: The Launch Pad, 180 Lancaster Road, Gordons Bay, Western Cape, South Africa, 7140
Contact person	Mr JJ van Zyl
Telephone number	+27(0)11 568 0925
E-mail	info@outsourcedcompliance.co.za

4 FINANCIAL SERVICES AND PRODUCTS

CATEGORY DESCRIPTION	CATEGORY I		CATEGORY II
	Advice	Intermediary	Intermediary
Long-Term Insurance subcategory A	✓	✓	
Long-Term Insurance subcategory B1	✓	✓	✓
Long-term insurance subcategory B2	✓	✓	✓
Long-term Insurance subcategory B2-A	✓	✓	✓
Long-term Insurance subcategory B1-A	✓	✓	✓
Structured Deposits	✓	✓	✓
Long-term Deposits			✓
Short-term Deposits			✓
Securities and Instruments	✓	✓	✓
Participatory interest in a hedge fund	✓	✓	✓
Long-Term Insurance subcategory C		✓	✓
Retail Pension Benefits	✓	✓	✓
Pension Funds Benefits	✓	✓	✓
Shares	✓	✓	✓
Money market instruments	✓	✓	✓
Debentures and securitised debt	✓	✓	✓
Warrants, certificates and other instruments	✓	✓	✓
Bonds	✓	✓	✓
Derivative instruments	✓	✓	✓
Participatory interests in one or more collective investment schemes	✓	✓	✓
Friendly Society Benefits	✓	✓	

5 INDEMNITY COVER

Pi Investment Managers (Pty) Ltd holds Professional Indemnity cover.

6 CONFLICT OF INTEREST MANAGEMENT POLICY

Pi Investment Managers (Pty) Ltd 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 Pi Investment Managers (Pty) Ltd at www.piinvest.co.za. The conflict-of-interest management policy can also be obtained from Pi Investment Managers (Pty) Ltd on request to info@piinvest.co.za.

7 COMPLAINTS

Should you wish to pursue a complaint against a key individual or representative of Pi Investment Managers (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, 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.

8 FINANCIAL INTELLIGENCE CENTRE ACT (FICA)

In terms of FICA, Pi Investment Managers (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.

9 AUTHORISED REPRESENTATIVES AND KEY INDIVIDUALS

The Financial Services Board has duly authorised the following representatives and key individuals to render financial services as defined in terms of the Financial Advisory and Intermediary Services (FAIS) Act in respect of the following financial products:

Category	Sub Category	Category Description	KEY INDIVIDUALS		REPRESENTATIVES		
			Ali Solim	Sithembiso Idisi	Itumeleng Mojaki	Tatum Starkey	Ismaeel Mohamed
1	1	Long-Term Insurance subcategory A	A,IO				A*,IO*
1	3	Long-Term Insurance subcategory B1	A,IO				A*,IO*
1	4	Long-Term Insurance subcategory C			IO	IO	IO*
1	5	Retail Pension Benefits	A,IO	A	A,IO	A,IO	A*,IO*
1	7	Pension Funds Benefits	A,IO	A	A,IO	A,IO	A*,IO*
1	8	Shares	A,IO		A,IO	A,IO	A*,IO*
1	9	Money market instruments	A,IO		A,IO	A,IO	A*,IO*
1	10	Debentures and securitised debt	A,IO		A,IO	A,IO	A*,IO*
1	11	Warrants, certificates and other instruments	A,IO		A,IO	A,IO	A*,IO*
1	12	Bonds	A,IO		A,IO	A,IO	A*,IO*
1	13	Derivative instruments	A,IO	A	A,IO	A,IO	A*,IO*
1	14	Participatory interests in a collective investment scheme	A,IO	A	A,IO	A,IO	A*,IO*
1	19	Friendly Society Benefits					A*,IO*
1	20	Long-term insurance subcategory B2	A,IO				A*,IO*
1	21	Long-term Insurance subcategory B2-A					A*,IO*
1	22	Long-term Insurance subcategory B1-A					A*,IO*
1	24	Structured Deposits					A*,IO*
1	25	Securities and Instruments			A*,IO*	A*,IO*	A*,IO*
1	26	Participatory interest in a hedge fund			A*,IO*	A*,IO*	A*,IO*
2	1	Long-Term Insurance subcategory B1					IO*
2	2	Long-Term Insurance subcategory C	IO		IO	IO	IO*
2	3	Retail Pension Benefits	IO	IO	IO	IO	IO*
2	4	Pension Funds Benefits	IO	IO	IO	IO	IO*
2	5	Shares	IO		IO	IO	IO*
2	6	Money market instruments	IO		IO	IO	IO*
2	7	Debentures and securitised debt	IO		IO	IO	IO*
2	8	Warrants, certificates and other instruments	IO		IO	IO	IO*
2	9	Bonds	IO		IO	IO	IO*
2	10	Derivative instruments	IO	IO	IO	IO	IO*
2	11	Participatory interests in one or more collective investment schemes	IO	IO	IO	IO	IO*
2	13	Long-term Deposits			IO	IO	IO*
2	14	Short-term Deposits			IO	IO	IO*
2	15	Long-term insurance subcategory B2					IO*
2	16	Long-Term Insurance : Category B2-A					IO*
2	17	Long-Term Insurance : Category B1-A					IO*
2	18	Structured Deposits					IO*
2	19	Securities and Instruments			IO*	IO*	IO*
2	20	Participatory interest in a hedge fund			IO*	IO*	IO*

* Services Under Supervision

Key:

A - Advice

IO - Intermediary Other

Pi Investment Managers (Pty) Ltd accepts responsibility for the activities of the Representatives insofar as it is performed within the scope of the contractual agreement between Pi Investment Managers (Pty) Ltd and the Representatives.

10 DISCLAIMER

Pi Investment Managers (Pty) Ltd is an authorised financial services provider under the Financial Advisory and Intermediary Services Act (Act No. 37 of 2002), FSP number: 20293.

You should note that there are risks involved in buying or selling any financial product including crypto assets, and past performance of a financial product is not necessarily indicative of the future performance.

No guarantee as to investment value or performance of any financial product is given or should be inferred.

The value of financial products including crypto assets can increase as well as decrease over time, depending on the value of the underlying securities and market conditions.

This document does not constitute a solicitation, invitation or investment recommendation. We do not imply that any specific financial product is suitable.

Hedge Funds are collective investment schemes to which the prescribed provisions of the Collective Investment Schemes Control Act (Act 45 of 2002) apply.

Prior to selecting any financial product including crypto assets, it is recommended that you, 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 document.

11 EXEMPTIONS

Pi Investment Managers (Pty) Ltd was not awarded any exemptions from the Act.

12 PRODUCT SUPPLIERS

Pi Investment Managers (Pty) Ltd does not market the products of product suppliers.

13 CLIENT ACKNOWLEDGEMENT

I/We the undersigned hereby acknowledge receipt of this Disclosure Document and have read and understand the contents.

Client Name

Signature

Date

Client Name

Signature

Date