

# FAIS DISCLOSURE CERTIFICATE

Emperor Asset Management

## Contents

1. INTRODUCTION .....	3
2. INFORMATION .....	3
3. FINANCIAL PRODUCTS AND SERVICES.....	4
4. GENERAL LICENSING CONDITIONS .....	5
5. EASYEQUITIES DECLARATION .....	5
6. CLIENT DECLARATION.....	5

## FAIS DISCLOSURE CERTIFICATE

### 1. INTRODUCTION

**1.1.** In terms of the Financial Advisory and Intermediary Services Act 37 of 2002 and the subordinate legislation thereto (the “FAIS Act”), as amended from time to time, a financial services provider (“FSP”) is required to make certain disclosures to its prospective and existing clients in accordance with the provisions therein. This disclosure certificate is available at [www.emperor.easyequities.co.za](http://www.emperor.easyequities.co.za) at all times and includes information about us as the authorised FSP, the financial products and services for which we are licensed, the product suppliers of the financial products we offer to clients and conflicts of interest (actual, potential, or perceived). We are committed to rendering financial services with honesty, fairness, due care, and diligence, and to meeting the requirements of the FAIS Act. A copy of our FAIS licence certificate, including the conditions of the licence, is available on request by submitting a ticket via the EasyEquities support portal [here](#).

### 2. INFORMATION

Authorised FSP	
Authorised FSP full name	Emperor Asset Management Proprietary Limited
FSP licence number	44978
FAIS approval date	8/04/2014
Company registration number	2010/019682/07
Physical business addresses	16 <sup>th</sup> Floor, 25 Owl Street, Auckland Park, Johannesburg 2092
Postal address	Postnet Suite 247, Private Bag X1, Melrose Arch, 2196
Contact details	<p><b>Telephone:</b> 010 141 2101</p> <p><b>Support portal:</b> <a href="https://support.easyequities.co.za/support/tickets/new">https://support.easyequities.co.za/support/tickets/new</a></p> <p><b>Website:</b> <a href="https://www.easyequities.co.za/">https://www.easyequities.co.za/</a></p> <p>Clients must please use the EasyEquities support portal for all queries.</p>
Nature of business	Financial services
Compliance officers	<p>Vorlaufer Compliance (Pty) Ltd (approval number 6692)</p> <p>Represented by Gigi Vorlaufer (approval number 4808)</p> <p>Address: 12 Constantia Avenue, Alan Manor, 2091</p> <p>Telephone: +27 82 780 8473</p> <p>Email: <a href="mailto:gigi@vorlaufer-compliance.co.za">gigi@vorlaufer-compliance.co.za</a></p>

	<p>Website: <a href="http://www.vorlaufer-compliance.co.za">www.vorlaufer-compliance.co.za</a></p> <p>Estian Goosen</p> <p>Address: 16th Floor, 25 Owl Street, Auckland Park, Johannesburg 2092</p> <p>Telephone: +27 79 319 8290</p> <p>Email: <a href="mailto:egoosen@purplegroup.co.za">egoosen@purplegroup.co.za</a></p>
<b>Information officer</b>	<p>Nicola Comninos</p> <p>Address: 16th Floor, 25 Owl Street, Auckland Park, Johannesburg 2092</p> <p>Telephone: 010 141 2132</p> <p>Email: <a href="mailto:Nicola@purplegroup.co.za">Nicola@purplegroup.co.za</a></p>
<b>Complaints</b>	<p>Emperor Asset Management aims to treat all clients fairly. It has a complaints resolution process. The complaints policy and procedure is available on the website.</p>
<b>Ombud for FSPs</b>	<p>Telephone: +27 12 762 5000 or +27 12 470 9080</p> <p>Fax: +27 86 764 1422 or +27 12 348 3447</p> <p>Postal address: P O Box 74571, Lynnwood Ridge, 0040</p> <p>Physical address: Sussex Office Park, Ground Floor, Block B, 473 Lynnwood Road, Lynnwood, 0081</p> <p>Email: <a href="mailto:info@faisombud.co.za">info@faisombud.co.za</a></p> <p>Website: <a href="http://www.faisombud.co.za">www.faisombud.co.za</a></p>

### 3. FINANCIAL PRODUCTS AND SERVICES

Category II	FSP		
Subcategory	Advice Automated	Advice Non-automated	Intermediary Service
Participatory interest in a hedge fund			x
Shares			x
Money market instruments			x

Debentures and securitised debt			x
Warrants, certificates and other instruments			x
Bonds			x
Derivative instruments			x
Participatory interests in one or more collective investment schemes			x
<b>Category IIA</b>	<b>FSP</b>		
Participatory interest in a hedge fund			x
General Category IIA experience			x

#### 4. GENERAL LICENSING CONDITIONS

- 4.1 Emperor Asset Management must inform the registrar of the Financial Services Conduct Authority (the "Registrar") in writing in an appropriate electronic format, within 15 days of any change in respect of business information of Purple Group as provided in form which is prescribed by the Registrar.
- 4.2 Emperor Asset Management must maintain the services of a key individual who comply with the fit and proper requirements as contemplated in the FAIS Act and ensure full compliance with the FAIS Act.
- 4.3 Emperor Asset Management must maintain a representative register and regularly update such register in the event of any changes to representatives or key individuals; and
- 4.4 Emperor Asset Management must not change the name of the business as reflected on the license, unless certain conditions are met and the Registrar has issued an appropriately amended license.
- 4.5 Emperor Asset Management must at all times ensure that any financial product which it renders or intend to render financial services of, qualifies as a financial product as contemplated in the FAIS Act, or is or will be lawfully issued by the relevant product supplier by virtue of an authority, approval or right granted to such supplier under a law as contemplated in the definition of product supplier in terms of the FAIS Act.

#### 5. EMPEROR ASSET MANAGEMENT DECLARATION

Emperor Asset Management hereby confirms that it accepts responsibility for the activities performed by it and the activities performed by its representatives, within the representatives' employment/mandate obligations, and that, to the best of our knowledge, our representatives meet the fit and proper requirements, including personal character qualities of honesty and integrity, good standing, competence, continuous professional development, operational ability, and financial soundness requirements.

#### 6. CLIENT DECLARATION

By using the Emperor Asset Management services and agreeing to the EasyEquities Terms and Conditions, and the relevant Emperor Asset Management bundle mandate, you hereby confirm that you have read and understood the contents of this disclosure certificate.