

FAIS DISCLOSURE DOCUMENT

2024

INTRODUCTION

In terms of the General Code of Conduct of the FAIS Act, Stockhouse Capital (Pty) Ltd (Registration number 2009/007770/07) is required to disclose the information in this document to you. You are therefore requested to read through the document carefully and acknowledge 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.

AUTHORISED FINANCIAL SERVICES PROVIDER

Stockhouse Capital (Pty) Ltd is an authorised financial services provider (FSP number 40132) in terms of Section 8 of the FAIS Act. A copy of our license certificate is available on request.

PHYSICAL ADDRESS	1 st Floor, Verdi House, Klein D'Aria Estate, 97 Jip de Jager Drive, Bellville, 7530
POSTAL ADDRESS	1 st Floor, Verdi House, Klein D'Aria Estate, 97 Jip de Jager Drive, Bellville, 7530
CONTACT PERSON	William MacRobert
TELEPHONE NUMBER	021 773 0113
E-MAIL	william@stockhouse.co.za
WEBSITE	www.stockhouse.co.za

FINANCIAL SERVICES AND PRODUCTS

The Financial Sector Conduct Authority has duly authorised Stockhouse Capital (Pty) Ltd to render financial services as defined in terms of the FAIS Act in respect of the following financial products:

CATEGORY I

CATEGORY DESCRIPTION	ADVICE	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	✓	✓
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 a collective investment scheme	✓	✓
Short-term Deposits	✓	✓

CATEGORY II

CATEGORY DESCRIPTION	INTERMEDIARY
Structured Deposits	✓
Participatory interest in a hedge fund	✓
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	✓

AUTHORISED KEY INDIVIDUAL

The Financial Sector Conduct Authority has duly authorised the following key individual/s to render financial services as defined in terms of the FAIS Act in respect of the classes of business highlighted below:

ELZABÉ VOLSCHENK

CLASS OF BUSINESS	CATEGORY I	CATEGORY II
Investments	✓	✓
Long-term Insurance	✓	✓
Short- term and Long-term deposits	✓	✓
Structured Deposits	✓	✓
Pension Fund Benefits	✓	✓

AUTHORISED REPRESENTATIVES

CATEGORY I	Elzabé Volschenk	Freddy Magoro
Long-Term Insurance subcategory A	✓	x
Long-Term Insurance subcategory B1	✓	x
Long-term insurance subcategory B2	✓	x
Long-term Insurance subcategory B2-A	✓	x
Long-term Insurance subcategory B1-A	✓	x
Structured Deposits	✓	x
Participatory interest in a hedge fund	✓	x
Long-Term Insurance subcategory C	✓	x
Retail Pension Benefits	✓	x
Pension Funds Benefits	✓	x
Shares	✓	✓
Money market instruments	✓	✓
Debentures and securitised debt	✓	✓
Warrants, certificates and other instruments	✓	✓
Bonds	✓	✓
Derivative instruments	✓	✓
Participatory interests in a collective investment scheme	✓	x
Short-term Deposits	✓	x

CATEGORY II	Elzabé Volschenk	William MacRobert	Freddy Magoro
Structured Deposits	✓	✓	x
Participatory interest in a hedge fund	✓	✓	✓
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	✓	✓	✓

CONFLICT OF INTEREST MANAGEMENT POLICY

Stockhouse Capital (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 Stockhouse Capital (Pty) Ltd at www.stockhouse.co.za. The conflict of interest management policy can also be obtained from Stockhouse Capital (Pty) Ltd on request from info@stockhouse.co.za.

COMPLIANCE OFFICER

Name	Assent Legal
Physical address	Unit 4, Northumberland House, Cnr Parklands and Main Road, Parklands, 7441
Postal address	Unit 4, Northumberland House, Cnr Parklands and Main Road, Parklands, 7441
Contact person	Freddie Eilers
Telephone number	021 557 8178
Cell number	082 556 9092
E-mail address	freddie@assent.co.za

INDEMNITY COVER

Stockhouse Capital (Pty) Ltd holds Professional Indemnity and Fidelity cover.

TREATING CUSTOMERS FAIRLY (TCF)

TCF is a set of principles introduced by the Financial Sector Conduct Authority (FSCA) to aid and underpin existing financial services legislation aimed at the protection of consumers and clients.

These principles are embedded in the Stockhouse Capital company culture and guide us to continuously strive to enhance the quality of our service offering to clients.

TCF PRINCIPLES

1. Clients must be confident that they are dealing with a service provider where the fair treatment of customers is central to the corporate culture.
2. Products and services marketed and sold in the retail market are designed to meet the needs of identified consumer groups and are targeted accordingly.
3. Clients are provided with clear information and are kept appropriately informed before, during and after the point of sale.
4. Where clients receive advice, the advice is suitable and takes account of their circumstances.
5. Clients/consumers are provided with products that perform as the company or service provider have led them to expect, and the associated service is of an acceptable standard and as they have been led to expect.
6. Clients to not face unreasonable post-sale barriers imposed by the company or service provider to change product, switch provider, submit a claim or make a complaint.

COMPLAINTS

Should you wish to pursue a complaint against a key individual or representative of Stockhouse Capital (Pty) Ltd, you should address the complaint in writing to info@stockhouse.co.za. If you are not entirely satisfied with the manner in which we handled your complaint, you are entitled to refer it to the office of the FAIS Ombud. Our Complaints Procedure is on our website, www.stockhouse.co.za.

FINANCIAL INTELLIGENCE CENTRE ACT (FICA)

In terms of FICA, Stockhouse Capital (Pty) Ltd is an accountable institution with reporting entity registration number 25043. 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.

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.