

In terms of the Financial Advisory and Intermediary Services ("FAIS") Act No. 37 of 2002 you are entitled to the following information:

**SCM DMA (Pty) Ltd ("DMA")**

48 7<sup>th</sup> Avenue, Parktown North  
Johannesburg  
2193

Tel: +27 (10) 201 6300

[www.DMA.co.za](http://www.DMA.co.za)

Email: [info@DMA.co.za](mailto:info@DMA.co.za)

Registration Number: 2009/003513/07

VAT Reg: 4860257817

DMA is a licensed Financial Services Provider in terms of FAIS, license number 40983 as well as an authorized user of an exchange. Copies of our licenses are available upon request.

**Financial Services and Products:**

DMA is authorised to render advice in respect of the following financial securities and instruments: Shares, Money Market Instruments, Debentures and securitised debt, Warrants, certificate and other instruments, Bonds, Derivative instruments, Participatory interests in a CIS Hedge Fund, and Forex investment.

**Authorised Representatives:**

DMA has duly authorised certain individuals to render intermediary services as defined in terms of FAIS under the DMA license. At any given time, these representatives may be under supervision. Current Representatives include the following:

- Travers Metherell
- Richard North
- Angus Clucas
- Jamie-lee Hall
- Justin Sage
- Christopher Clarke
- Roberto Eerligh (under supervision)
- Neville Lahner
- Andrew Mondim Lyons (under supervision)
- Charlotte van Tiddens (under supervision)
- Sivagami Govender (under supervision)
- Cuan Sauter (under supervision)
- Wian de Wet (under supervision)

**Key Individuals:**

- Richard North
- Travers Metherell
- Peter Johnson

**Conflicts of Interest:**

Conflicts of interest are inherent in any business and therefore the aim of DMA is to take steps to identify, disclose and manage conflicts of interest that may arise and to further ensure that our clients are not unduly prejudiced.

The Conflict of Interest policy is available on the website; alternatively, by request.

**Indemnity Cover:**

DMA holds sufficient professional indemnity insurance as required by FAIS.

**What will you have to pay us for our services?**

The costs of our services are available on our website and will be discussed prior to any conclusion of business. Any additional fees that may be applicable will be disclosed in advance. Any management or other fees deducted by independent investment managers must be discussed directly with those third parties and be included in your mandate with that third party who will only be able to instruct us regarding same based on a signed DMA Power of Attorney signed between yourself and the relevant Investment Manager.

**Compliance with Financial Advisory and Intermediary Services Act "FAIS":**

Compliance with the FAIS Act is monitored by our external Compliance Officer, Gigi Vorlauffer of Vorlauffer Compliance (Pty) Ltd, who is contactable on +27 827808473 or via email at [gigi@vorlauffer-compliance.co.za](mailto:gigi@vorlauffer-compliance.co.za)

**Financial Intelligence Centre Act (FICA):**

Please note that in terms of the Financial Intelligence Centre Act (FICA), or any amendments thereto, DMA is an accountable institution under law and as such obliged to report suspicious and unusual transactions that may facilitate money laundering to the authorities.

**Complaints:**

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Should you wish to pursue a complaint against a representative of DMA, you should address your complaint in writing to Legal & Compliance at the address shown at the head of this letter or e-mail [complaints@DMA.co.za](mailto:complaints@DMA.co.za).

If you cannot settle your complaint with us, you are entitled to refer it to the office of the FAIS Ombud. The Ombud has been created to provide you with a redress mechanism for any complaints regarding financial services given to you by a licensed financial services provider.

Contact particulars of the Ombud:

Postal: PO Box 74571, Lynnwood Ridge 0040

Tel: 012 470 9080

Fax: 012 348 3447

Email: [info@faisombud.co.za](mailto:info@faisombud.co.za)

Website: [www.faisombud.co.za](http://www.faisombud.co.za)

You may also lay a complaint by selecting the relevant links on the FSCA website: [www.FSCA.co.za](http://www.FSCA.co.za)