DISCLOSURE LETTER

Cape Capital Group (Pty) Ltd.

FSP: 50206

CAPE CAPITAL GROUP (PTY) Ltd. is authorised and regulated by the Financial Sector Conduct Authority (FSP no. 50206). Cape Capital Group does not offer its services to residents of certain jurisdictions such as the USA, Iran, Cuba, Sudan, Syria and North Korea.

Company Name	Cape Capital Group (Pty) Ltd.
Physical Address	First Floor Zotos House, 183 Smit Street, Fairland, Johannesburg, South Africa, 2170
Website	https://capecapitalgroup.co.za/
License Number	50206
Telephone Number	

1. COMPANY'S LEGAL STATUS

Cape Capital Group (Pty) Ltd. (the "Company") is a private company registered in the Republic of South Africa under FSP No. 50206. As a license Financial Services Provider in terms of FAIS, the Company accepts responsibility for the actions of its representatives, acting within their mandates, in the rendering of financial services as defined by the Financial Advisory and Intermediary Services Act 38 of 2002 ("FAIS") as amended.

Its representatives either meet the fit and proper requirements as prescribed by FAIS or operate under appropriate supervisory procedures in accordance with FAIS. The Company acts as a direct marketer in terms of the FAIS Act, rendering only an intermediary service.

2. DETAILS OF KEY INDIVIDUALS AND REPRESENTATIVES

Key Individuals

Name:	Jan Ignac Ilcisin
Position:	CEO
Tel.:	
Email Address:	ceo@capecapitalgroup.co.za

Representatives

Name:	**Under Supervision**
Jan Ignac Ilcisin	YES

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3. LEGAL STATUS OF KEY INDIVIDUALS AND REPRESENTATIVES

The Company confirms that its key individual(s) and representative(s) are mandated and entitled to render only intermediary services to you in terms of FAIS. The Key individuals and Representatives are full time employees of the Company.

4. COMPLAINT HANDLING AND COMPLIANCE QUERIES

Should you wish to lodge a complaint against the Company kindly refer to the Complaint Handling Form on the website which sets out the procedure.

A. Compliance Officer Information

Name	Ms Sunitha Bisnath
FAIS Registration Number	6166
Company	Compliance Proxy (Pty) Ltd.
Physical Address	28 Bompas Road, Dunkeld West
Telephone	067 119 6742
Email	sunitha@complianceproxy.co.za

B. FAIS Ombudsman

Please note that prior to lodging a serious complaint with the authorities (listed below) ideally you should consider lodging a complaint in writing directly with the Company. Should confirmation be provided by the Company that they are unable to resolve the complaint, you are free to pursue the matter further with the relevant Ombudsman.

The Company has established a written internal complaint resolution system with detailed procedures. Access to the Complaints Procedures and a copy of the complaint resolution system is available to clients at the business premises of the Company each day during office hours or via the e-mail request. Should you have any serious complaint, this must be submitted to the Company in writing and must contain all relevant information. Copies of all relevant documentation must be attached thereto.

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The Company welcomes any non-serious complaints to be brought to their attention via telephone or e-mail and which they gladly assist in resolving to your satisfaction.

The FAIS Ombudsman	
Physical Address	125 Dallas Avanue Menlyn Central Waterkloof Glen, Pretoria 0010
Telephone	012 762 5000
Email:	info@faisombud.co.za

The Short-Term Insurance Ombudsman	
Postal Address	P.O.Box 32334, Braamfontein, 2017
Telephone	086 072 6890/ _011) 726 8900
Email:	info@osti.co.za

The Long-Term Insurance Ombudsman	
Postal Address	Private Bag X45, Claremont, Cape Town, 7735
Telephone	086 010 3236/ (021) 657 5000
Email:	info@ombud.co.za

The Office of the Pension Fund Adjudicator	
Postal Address	PO Box 580, Menlyn, 0063
Telephone	086 066 2837/ (012) 748 4000 / (012) 346 1738
Email:	enquiries@pfa.org.za

5. OTHER MATTERS OF IMPORTANCE

In terms of the Financial Intelligence Centre Act, 2001 the Company is obliged to report any suspicious and unusual transactions that may facilitate money laundering.

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It is important that you are absolutely sure that the product and transactions meet your needs and that you feel you have all the information you need before making a decision.

The Company acts solely as a direct marketer in terms of Section 15 of the FAIS General Code of Conduct. The Company merely provides users with a trading platform, which is deemed to an intermediary service under FAIS. The Company does not make any recommendations, it does not provide guidance, nor does it make any proposals related to financial products to users. The Company does not perform any analyses of users' financial objectives not investment risk profiles. Users must ensure that they are comfortable with the trading decisions they take and must contact their FAIS approved financial adviser should they require any financial advice.

The Company has a suitable Professional Indemnity Insurance in place in accordance with FAIS.

Waiver of rights: Users are hereby advised that no representatives of the provider or any other person may ask you, nor in any way induce you, to waive any right or benefit conferred on you by or in terms of any provision of the FAIS Act.

6. FINANCIAL SERVICES AND PRODUCTS

As an Authorised Financial Services Provider, the Company as a Category I license issued by the Financial Sector Conduct Authority in terms of FAIS, to provide advisory and intermediary services in respect of the following financial products:

	Financial Product	**Advice**	**Intermediary Services**
	CATEGORY I		
1.8	Securities and Instruments: Shares	YES*	YES
1.13	Securities and Instruments: Derivative instruments excluding warrants	YES*	YES

*kindly note that although the Company is licensed to render Advice, it will never make any recommendations, guidance or proposal to users. Users make their own trading/ investment decisions and are encouraged to contact their FAIS approved Financial Advisor should any financial advice prior to transacting.

7. CONFLICT OF INTEREST

In Accordance with the Company's Conflicts of Interest Management Policy, the Company places a high priority on its clients' interests. Conflicts of interest could undermine the integrity and professionalism of the Company and its employees, and any potential or recognized instance must be identified as early as possible. Potential conflicts of interest are inherent in any business and therefore it is not the aim of the Company to avoid all conflicts. If conflict situation cannot be avoided, the Company will manage these conflicts equitably and, in the client's, best interest as an integral part of the Company's ethos. The Company maintains an active Conflict of Interest Management Policy, which is available on its website.

Cape Capital Group:

Registered Office: First Floor Zotos House, 183 Smit Street, Fairland Johannesburg, Gauteng
Country of registration: South Africa
FSP No.: 50206
Registration Number: 2019/142922/07
Category License: Category 1
Registered Office: First Floor Zotos House, 183 Smit Street. Fairland Johannesburg, Gauteng
Contact No.: 087 897 6970
Website: https://www.capecapitalgroup.co.za/

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