

PROVIDER AND REPRESENTATIVE DISCLOSURES IN TERMS OF THE FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT (FAIS)

As a client you have the right to the following information:

YOUR FINANCIAL SERVICES PROVIDER, Lunar Capital (Pty) Limited

Name Lunar Capital (Pty) Ltd
FSP Number 46567
Physical and postal address 29 Seventh Street
Houghton Estate, 2198, Johannesburg, SOUTH AFRICA

Tel +27 11 447 2052
Email sabir@lunarcapital.co.za or carl@lunarcapital.co.za
Web www.lunarcapital.co.za

LEGAL STATUS OF PROVIDER

Lunar Capital (Pty) Limited, registration number 2015/-8250/07 is a private company established in 2015. As a licensed Financial Services Provider in terms of the FAIS Act, Lunar Capital (Pty) Limited accepts responsibility for its representatives acting within their mandates, in rendering services defined by FAIS. Our key individual and representative meet the fit and proper requirements as prescribed by FAIS.

KEY INDIVIDUAL

Carl Isernhinke
29 Seventh Street, Houghton Estate, 2198
Johannesburg, SOUTH AFRICA
Tel +27 83 325 9763
Email carl@lunarcapital.co.za

REPRESENTATIVES

Sabir M Mahomed Munshi
29 Seventh Street, Houghton Estate, 2198
Johannesburg, SOUTH AFRICA
Tel +27 83 305 7860
Email sabir@lunarcapital.co.za

COMPLIANCE OFFICER

The Compliance Officer is Dawn Julyan-van Deventer.
The Compliance function is outsourced to **Simply Comply (Pty) Ltd** (Pr.6003 FSB)
Suite 7b Monpark, 76 Skilpad ave, Monument Park, 0181, Pretoria SOUTH AFRICA
Tel: 012 -998 7938/40
Email: dawn@legal1.co.za
Any compliance related matters can be directed to the Compliance Officer

CONFLICT OF INTEREST POLICY (a copy of our full policy is available from our offices on request)

Directors, and employees of the company must never permit their personal interests to conflict with the interests of the company or its clients. This includes, but is not limited to:

- Directly or indirectly benefiting financially from recommendations which incur a cost to the client and is not part of our mandate with the client;
- Receiving any non-cash incentives from affecting any predetermined transaction and / or product.

- Effecting a transaction and / or product that may result in a benefit to another party other than the client.

Directors and employees must be particularly careful to avoid representing the company in any transaction with others with whom there is any outside business affiliation or relationship. Directors and employees shall avoid using their company contacts to advance their private business or personal interests at the expense of the company, its clients or affiliates.

Officers, directors and employees will refrain from gathering competitor intelligence by illegitimate means and refrain from acting on knowledge which has been gathered in such a manner. The officers, directors and employees of the company will seek to avoid exaggerating or disparaging comparisons of the services and competence of their competitors.

Violation of this Code can result in disciplinary action being taken against the person, including possible termination of services. The degree of discipline relates in part to whether there was a voluntary disclosure of any ethical violation and whether or not the violator cooperated in any subsequent investigation.

Management of conflicts

Lesser conflicts

When any staff member of the company suspects a potential conflict of interest, that member shall be obliged to discuss the matter with the Key Individual. The discussion as well as any decision made will be documented in the form of minutes. In assessing whether a conflict is material or of a lesser nature, consideration will be given to the impact that such a conflict will have on the company's reputation, financial loss and internal erosion of ethical standards.

Material conflicts

Any potential conflicts of interest must be discussed with the Key Individual, who will solely determine whether a conflict is material or not.

Management and mitigation

The Directors of the company will review all conflicts on a quarterly basis and make recommendations regarding steps to avoid a recurrence of those aspects. The Key Individual will accept responsibility for the implementation of all steps necessary. Notice of the attention paid to conflict of interest must be contained in the minutes of the meetings of the Board of Directors and the relevant extracts of the minutes must be made available to the company's Compliance Officer on request, the purpose of which is to enable the Compliance Officer to report on compliance with this policy.

Where a conflict is identified and a decision made, the nature of the decision must be communicated to the offending party in writing as soon as possible. This applies regardless of whether the decision was made to cease doing business or continue with the business at hand despite the existence of the conflict. It is important for the preservation of the corporate integrity that these disclosures are made at all times.

Professional Indemnity Insurance

Lunar Capital (Pty) Limited has Professional Indemnity and Fidelity Insurance cover in the amount of R5m as required in terms of the FAIS Act.

COMPLAINTS DEPARTMENT

Any complaints can be directed to the Complaints officer, whose details are:

Sabir M Mahomed Munshi

29 Seventh Street, Houghton Estate, 2198

Johannesburg, SOUTH AFRICA

Tel +27 83 305 7860

Email sabir@lunarcapital.co.za

and a copy of our internal complaints policy will be provided to you.

FAIS OMBUD

Should a complaint not be resolved to your satisfaction within 6 weeks, you may forward such a complaint to the office of the Ombud for Financial Service Providers, whose contact details are:

Telephone: +27 12 470 9080

Facsimile: +27 12 348 3447

E-mail Address: info@faisombud.co.za

Website: www.faisombud.co.za

GENERAL GUIDELINES

Do not sign any blank or partially completed application form or agreements.

Complete all forms in ink.

Keep all documents handed to you in a safe place.

In terms of the Financial Intelligence Centre Act, Lunar Capital is obliged to report any suspicious and unusual transactions that may be related to potential money laundering.

It is important that you are absolutely sure that the product or transaction meets your needs and that you feel you have all the information you need, before making any decision.

FINANCIAL SERVICES PRODUCTS

As an authorized Financial Services Provider, Lunar Capital (Pty) Limited and its representatives has been licensed by the Financial Services Board in terms of the FAIS Act, to render intermediary services in respect of the following financial products:

CATEGORY II – Discretionary FSP – INTERMEDIARY SERVICES

Securities and Instruments: Shares

Securities and Instruments: Money market instruments

Securities and Instruments: Debentures and securitized debt

Securities and Instruments: Warrants, certificates and other instruments

Securities and Instruments: Bonds

Securities and Instruments: Derivative instruments

Participatory interests in Collective Investment Schemes

Foreign Currency denominated investment instruments, including foreign currency deposit, long-term deposits, short-term deposits