

STONEHAGE FLEMING GROUP  
SOUTH AFRICAN REGULATORY INFORMATION

October 2022



NOW AND FOR FUTURE GENERATIONS

## REGULATORY INFORMATION

1. The companies listed below (collectively referred to as “Stonehage Fleming”) are authorised by the Financial Sector Conduct Authority (“FSCA”) to conduct financial services in terms of the Financial Advisory and Intermediary Services Act, No 37 of 2002 (“FAIS”):

- 1.1 Stonehage Fleming Financial Services (Pty) Ltd (FSP: 9587)
- 1.2 Stonehage Fleming Investment Management (South Africa) (Pty) Ltd (FSP: 42847)
- 1.3 Stonehage Fleming Investment Management Ltd (UK) (FSP: 46194)
- 1.4 Stonehage Fleming Asset Management (Pty) Ltd (FSP: 829)
- 1.5 Stonehage Fleming Fiduciary Ltd (FSP: 16138)
- 1.6 Stonehage Fleming Corporate Services (Pty) Ltd (FSP: 47012)
- 1.7 Stonehage Fleming Advisory Ltd (UK) (FSP: 52580)

2. The Compliance Officer(s) can be contacted at our Cape Town office:

Address: First Floor, North Block, Waterway House, 3 Dock Road, Victoria & Alfred Waterfront, Cape Town, 8001, South Africa

Telephone number: +27 21 301 0888

Email: [zacompliancedepartment@stonehagefleming.com](mailto:zacompliancedepartment@stonehagefleming.com)

3. In accordance with Section 51 of the Promotion of Access to Information Act No.2 of 2000, Stonehage Fleming has compiled a Promotion of Access to Information Act Manual. The Manual will be made available on written request to the Compliance Officer.

4. Stonehage Fleming has implemented a Conflicts of Interest Management Policy in accordance with the General Code of Conduct Regulations under FAIS. The Policy will be made available on written request to the Compliance Officer.

5. Stonehage Fleming has implemented a Complaints Policy, a copy of which will be made available on written request to the Compliance Officer. Should your complaint not be resolved satisfactorily, you have the right to submit FAIS complaints to the Ombud for Financial Services Providers who can be contacted at:

<b><u>Physical Address</u></b> 125 Dallas Avenue Menlyn Central, Waterkloof Glen, Pretoria, 0010	<b><u>Postal Address</u></b> P.O. Box 74571 Lynnwood Ridge 0040	<b><u>Customer Contact Division</u></b> <b>Telephone:</b> +27 12 762 5000 <b>Facsimile:</b> + 27 12 348 3447 <b>E-mail:</b> <a href="mailto:info@faisombud.co.za">info@faisombud.co.za</a> <b>Website:</b> <a href="http://www.faisombud.co.za">www.faisombud.co.za</a>
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