

## FAIS INFORMATION SHEET

### INFORMATION SUPPLIED IN ACCORDANCE WITH THE GENERAL CODE OF CONDUCT FOR AUTHORISED FINANCIAL SERVICES PROVIDERS AND REPRESENTATIVES

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#### TriAlpha Investment Management (Proprietary) Limited (“TriAlpha”)

(Registration number 2006/008726/07)

**Address:**

Physical address: Suite 12b, 2<sup>nd</sup> Floor, Ou Kollege Building, 35 Church Street, Stellenbosch, 7600  
 Postal address: Postnet Suite Number 277, Private Bag X5061, Stellenbosch, 7599  
 Telephone number: +27 (0)21 809 1200  
 Fax number: +27 (0)21 882 8421

1. TriAlpha is registered as a Financial Services Provider (“FSP”) under the Financial Advisory and Intermediary Services Act, No 37 of 2002 (FSP No: 28090).
2. TriAlpha’s Compliance Officers are Mr. Tim Howse and Mr. Nick Howse from eComply Consultants (Pty) Ltd and can be contacted on +27 (0)21 671 8162 or email info@ecomply.co.za
3. TriAlpha will respond to written complaints addressed to the complaints investigator. Complaints should be submitted to any of the above addresses. Should your complaint not be resolved satisfactorily, you have the right to submit any complaints to the Ombud for Financial Services Providers who can be contacted at:

**Physical Address**

FAIS Ombud  
 Menlyn Central Office Building  
 125 Dallas Avenue  
 Waterkloof Glen  
 Pretoria  
 0010

**Postal Address**

P.O. Box 41  
 Menlyn Park  
 0063

**Customer Contact Division**

**Sharecall:** 086 066 3274  
**Telephone:** 012 762 5000  
**E-mail address:** info@faisombud.co.za  
**Website:** www.faisombud.co.za

4. TriAlpha is authorized to provide advisory and intermediary services in regard to the following financial products in Category I and II of the FAIS Act:
  - Shares;
  - Money Market Instruments
  - Debentures & Securitised Debt.
  - Warrants certificates and other instruments.
  - Bonds.
  - Derivative Instruments.
  - Participatory interests in Collective Investment Schemes.
  - Participatory interests in a Hedge Fund
  - Short-Term Deposits.
  - Long-Term Deposits.
  - Structured Deposits.
5. TriAlpha is an approved Hedge Fund Manager with the required FAIS Category IIA license.
6. TriAlpha holds professional indemnity and fidelity insurance.
7. Information disclosed to TriAlpha or any of its authorised representatives in their professional capacity will be treated as confidential unless written consent is obtained to disclose such information, or the disclosure of such information is required in the public interest or under a particular law.
8. TriAlpha may retain any retrocession or benefits (whether direct or indirect) including but not limited to commission, fees, interest, or other remuneration arising from the placing of deposits provided full disclosure is made to the client.
9. In accordance with Section 51 of the Promotion of Access to Information Act No.2 of 2000, TriAlpha has compiled a Promotion of Access to Information Act Manual. The Manual will be made available on written request to the firm’s Compliance Officer.

10. TriAlpha has implemented a Conflicts of Interest Management Policy in accordance with the General Code of Conduct Regulations issued in terms of the Financial Advisory and Intermediary Services Act, No 37 of 2002. The Policy is available on the company's website at [www.trialpha.co.za](http://www.trialpha.co.za).
11. You are hereby advised that no representative of TriAlpha or any other person may ask you or offer any inducement to you to waive any right or benefit conferred on you by or in terms of any provision of the General Codes of Conduct
12. Unless indicated otherwise, the following are all employees of TriAlpha and are either Key Individuals or Authorised Representatives:

<a href="#">T. Van Wyk</a>	Director & Investment Manager	Key Individual & Authorised Representative
<a href="#">P. Lebina</a>	CEO	Key Individual
<a href="#">J. Abels</a>	Investment Manager	Authorised Representative
<a href="#">N Sithole</a>	Investment Analyst	Authorised Representative
<a href="#">TriAlpha Global Investment Management (Pty) Ltd</a>	Investment Manager	Juristic Representative of TriAlpha

13. TriAlpha takes responsibility for all the Key Individuals, Juristic Representatives and Representatives' actions.
14. The abovementioned individuals receive remuneration in the form of salary and may from time-to-time receive incentives in terms of their participation in their respective firms' incentive scheme.