

STATUTORY FAIS DISCLOSURE

Full Business and Trade Name:

Emperor Asset Management Pty (Ltd)

FSP License Number:

44978

Licensed Financial Services:

Category 2 and Category 2A

Conditions/Restrictions:

- The FSP must inform the Registrar of any change i.r.o. business Information of the FSP.
- The FSP must at all times maintain the services of any Key Individual and ensure full compliance with Section 8 (4) (b) of the Act.
- The FSP must within one month of the date contemplated in Section 7 of the Act, inform the Registrar of any change effected to the details as contained in the register.
- The FSP must not change the name of the business as reflected on the licence, unless certain conditions are met and the Registrar has issued an appropriately amended licence.
- The FSP must at all times ensure that any financial product i.r.o. which the FSP intends to render a financial service is lawfully issued.
- The FSP must implement measures to segregate:
 1. Management processes;
 2. Investor's funds;
 3. Valuation of Hedge fund portfolio;
 4. Client Reporting; and
 5. Execution of Trades.

A full list of the conditions is available on request from the Compliance Officer.

Registration Number:

2010/019682/07

Postal Address:

Postnet Suite 247, Private Bag X1, Melrose Arch, 2196

Physical Address:

Ground Floor, Block B, The Offices of Hyde Park, Strouthos Place, Hyde Park, 2196

Telephone/Fax:

(087) 940 6121

Fax Number:

011) 214 8028

Website:

www.emperor.co.za

Email Address:

info@emperor.co.za

COMPLIANCE AND COMPLAINTS DEPARTMENT

Name:

Mrs. P C S Ahlers

Company:

Moonstone

Telephone:

(012) 809 1286

Licensed Financial Services:

Category 2 and Category 2A

Email:

sadsetts@moonstonecompliance.co.za

FAIS Exemptions:

- Exemption on services under Supervision in terms of requirements and conditions obtaining experience (BN 140 of 2008).
- Exemption of Authorised FSP from Section 19(2) (a) and (3) to (6) (BN 193 of 2011).

Fidelity Insurance Cover:

R10 000 000.00



**AUTHORISED IN RESPECT OF ADVISORY AND INTERMEDIARY SERVICES
FOR THE FOLLOWING PRODUCTS:**

CATEGORY DESCRIPTION	ADVICE	INTERMEDIARY
CATEGORY II - Discretionary FSP		X
Securities and Instruments: Shares		X
Securities and Instruments: Money market instruments		X
Securities and Instruments: Debentures and securitised debt		X
Securities and Instruments: Warrants, certificates and other instruments		X
Securities and Instruments: Bonds		X
Securities and Instruments: Derivative instruments		X
Participatory interests in Collective Investment Schemes		X
CATEGORY IIA- Hedge Fund FSP		X