

**DISCLOSURE NOTICE IN TERMS OF FINANCIAL ADVISORY & INTERMEDIARY SERVICES ACT  
NO. 37 2002 "FAIS"**  
IMPORTANT – PLEASE READ CAREFULLY

Lynx Fund Managers (Pty) Ltd is a licensed Financial Services Provider, licence number 23987.  
A copy of our FSCA licence is available upon request.  
Registration Number: 2005/033475/07

**1. Contact details**

Physical Address: 1<sup>st</sup> Floor, Cedarwood House, Ballywoods Office Park, 33 Ballyclare Drive, Bryanston, 2191  
Postal Address: PO BOX 71256, Bryanston, 2021  
Telephone No.: (011) 707 9940  
Website: [www.lfm.co.za](http://www.lfm.co.za)

**2. Financial Services and Products**

Lynx Fund Managers (Pty) Ltd offers financial services and or products that fall in the following product categories:

**CATEGORY II – DISCRETIONARY FSP**

2.5 Shares	2.9 Bonds
2.6 Money market instruments	2.11 Participatory Interests in Collective Investment Schemes
2.18 Structured Deposits	2.20 Participatory interest in a Hedge Fund

**3. Authorised key Individuals and Representatives**

Lynx Fund Managers (Pty) Ltd has duly authorised the individuals below to render advice and intermediary services as defined in terms of FAIS:

Role		Products					
Key Individuals	Representatives	2.5	2.6	2.9	2.11	2.18	2.20
Bruce Gary Kirsch	Bruce Gary Kirsch	X	X	X	X	X	X
Jonathan Marshall Ralph	Jonathan Marshall Ralph	X	X	X	X	X	X

Lynx Fund Managers (Pty) Ltd has the necessary controls and procedures in place to ensure that the Representatives comply with the prescribed FAIS Fit and Proper Requirements (including experience, qualifications, regulatory examinations and honesty and integrity requirements). Lynx Fund Managers (Pty) Ltd accepts legal responsibility for those activities of the Representatives performed within the scope of his/her employment contract or mandate.

We confirm that none of our Representatives are rendering services under the supervision as described in the Determination of Fit & Proper requirements.

**4. Exemptions with regard to any matter covered by the FAIS Act**

The Registrar has not specifically granted an exemption to Lynx Fund Managers (Pty) Ltd.

**5. Contracts with Product Suppliers**

We offer financial products from a variety of product suppliers.

Please see **Annexure A** for the following information of each product supplier: Physical Location, Postal Address, Telephone Contact Details, Names and Contact Details of the relevant compliance & complaints departments.

None of the product suppliers listed in **Annexure A** imposed any conditions or restrictions with regard to the type of financial products or services that may be provided or rendered by Lynx Fund Managers (Pty) Ltd.

**6. Commissions and fees**

Lynx Fund Managers (Pty) Ltd reserves the right to charge a fee for professional services rendered. This fee will be negotiated and agreed before the conclusion of any transaction. Commissions and fees will be declared to clients with the conclusion of any transaction.

Lynx Fund Managers (Pty) Ltd receives commission collected via the various product providers that we interact with on your behalf.

**7. Compliance with Financial Advisory and Intermediary Services Act "FAIS"**

The FAIS Act compliance of Lynx Fund Managers (Pty) Ltd is monitored by Anél Naudé of Compli-Serve SA (Pty) Ltd, a licensed Compliance Practice, CO 6797.

Tel. 087 897 69870

Email [anel@compliserve.co.za](mailto:anel@compliserve.co.za)

**8. Professional Indemnity Insurance, Fidelity Insurance or Guarantees**

Lynx Fund Managers (Pty) Ltd holds professional indemnity and fidelity insurance cover.

**9. Confidentiality**

We are committed to keeping all client information confidential and will not provide such information to third parties unless so authorised by our client, or if it is required to divulge such information in the public interest or under any law.

**10. Conflicts of Interest**

Lynx Fund Managers (Pty) Ltd has contracted with the following parties to ensure that clients are provided with the full scope of financial services:

Renaissance Wealth Management (Pty) Ltd, FSP licence number 878. The shareholders of Lynx Fund Managers (Pty) Ltd holds 100% of the shareholding of Renaissance Wealth Management (Pty) Ltd.

Independent Fiduciary Services (Pty) Ltd, FSP licence number 38532. Two of the shareholders of Lynx Fund Managers (Pty) Ltd holds 100% of the shareholding of Independent Fiduciary Services (Pty) Ltd.

Renaissance Equity (Pty) Ltd, FSP licence number 46617. Two of the shareholders of Lynx Fund Managers (Pty) Ltd holds 100% of the shareholding of Renaissance Equity (Pty) Ltd.

In accordance with our conflicts management policy, we place a high priority on our clients' interests. We will endeavour to identify, manage and as far as reasonably possible avoid any conflicts of interest. A copy of our Conflicts of Interest Management Policy is available on request from our compliance manager, Janeke Vermeulen who can be reached at 011 707 9940 or [janeke@rwm.co.za](mailto:janeke@rwm.co.za).

During the past 12 months Lynx Fund Managers (Pty) Ltd received in excess of 30% of total remuneration, including commission, from Prime Collective Investment Schemes Management Company (Pty) Ltd.

Lynx Fund Managers (Pty) Ltd has no shareholding in any product supplier.

## 11. Complaints

In the event that you are dissatisfied with any aspect of our service you may contact our compliance manager Janeke Vermeulen at 011 707 9940 or [janeke@rwm.co.za](mailto:janeke@rwm.co.za). If you cannot settle your complaint with us, you are entitled to refer it to the FAIS Ombud.

The Ombud can be reached at:

Physical Address: 125 Dallas Avenue  
Menlyn Central  
Waterkloof Glen  
Pretoria, 0010

Postal Address: PO Box 74571, Lynnwood Ridge 0040  
Tel: 012 762 5000  
Sharecall: 086 066 3247  
Email: [info@faisombud.co.za](mailto:info@faisombud.co.za)  
Website: [www.faisombud.co.za](http://www.faisombud.co.za)

## 12. Basis of Advice

In order for us to provide you with appropriate advice and support, it is important that you provide us with sufficient information. Failure to make a full disclosure could result in our advice being compromised and may accordingly result in you making a financial commitment to a product inappropriate to your needs and objectives.

## 13. Financial Intelligence Centre Act (FICA)

Please note that in terms of the Financial Intelligence Centre Act (FICA), Lynx Fund Managers (Pty) Ltd is obliged to report suspicious and unusual transactions that may facilitate money laundering to the authorities.



## Annexure A: Product Providers

	<b>Supplier Name</b>	<b>Physical Address</b>	<b>Postal Address</b>	<b>Telephone Number</b>	<b>Name of complaints officer</b>	<b>Contact details of complaints officer</b>
1.	Prime Collective Investment Schemes Management Company (Pty) Ltd	28 Peter Place Lyme Park Sandton 2100	PostNet Suite 208 Private Bag X9 Benmore 2010	+27 (0)10 594 2121	Compliance Officer	<a href="mailto:complaints@globaladmin.co.za">complaints@globaladmin.co.za</a>
2.	Graphite Asset Advisory (Pty) Ltd	Suite 2016, Strauss Daly Building, 41 Richefond Circle, Ridgeside Office Park, Umhlanga	28 Peter Place Lyme Park Sandton 2100	087 500 9215	Complaints Officer	<a href="mailto:jacques@graphiteadvisory.com">jacques@graphiteadvisory.com</a>