



THE INTERNATIONAL FAMILY OFFICE

Strictly Private & Confidential

STONEHAGE FLEMING GROUP

SOUTH AFRICAN REGULATORY INFORMATION

JULY 2020

REGULATORY INFORMATION

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

- Stonehage Fleming Financial Services (Pty) Ltd (FSP: 9587)
- Stonehage Fleming Investment Management (South Africa) (Pty) Ltd (FSP: 42847)
- Stonehage Fleming Investment Management Ltd (FSP: 46194)

2. The Compliance Officer is Briar Lock who can be contacted at our Cape Town office:

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

Telephone number: +27 21 446 2156

Email: 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:

Physical Address

Kasteel Park Office Park,
Orange Building, 2nd Floor,
546 Jochemus Street,
Erasmus Kloof,
Pretoria, 0048

Postal Address

P.O. Box 74571
Lynnwood Ridge
0040

Customer Contact Division

Telephone: +27 12 470 9080/
+27 12 762 5000

Facsimile: + 27 12 348 3447

E-mail: info@faisombud.co.za

Website: www.faisombud.co.za

