



## THE INTERNATIONAL FAMILY OFFICE

Strictly Private & Confidential

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**STONEHAGE FLEMING GROUP**  
**SOUTH AFRICAN REGULATORY INFORMATION**

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JUNE 2018

## REGULATORY INFORMATION

1. The companies listed below (collectively referred to as Stonehage Fleming) are authorised by the Financial Services Board to conduct financial services in terms of the Financial Advisory and Intermediary Services Act, No 37 of 2002:
  - Stonehage Fleming Financial Services (Pty) Ltd (FSP9587)
  - Stonehage Fleming Investment Management (South Africa) (Pty) Ltd (FSP42847)
  - Stonehage Fleming Investment Management Limited (FSP46194)
  - Stonehage Fleming Opportunities S12J (Pty) Ltd (FSP48799)
  - Stonehage Fleming Social Benefit S12J (Pty) Ltd (FSP48800)
2. The South African compliance officer for the firms is Sonja Pedall who can be contacted at our Johannesburg office:

Physical address: First Floor, 54 Glenhove road, Melrose, 2196, Johannesburg, South Africa

Postal address: P.O. Box 87353, Houghton, Johannesburg, 2041

Telephone number: +27 11 544 2900

Fax number: +27 86 534 3926
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 firm's Compliance Officer.
4. Stonehage Fleming 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 will be made available on written request to the firm's Compliance Officer
5. Stonehage Fleming will respond to written complaints addressed to any of the firms. Stonehage Fleming has implemented a complaints policy, a copy of which will be made available on written request to the firm's compliance officer. 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  
Sussex Office Park  
Ground Floor Block B  
473 Lynnwood Road  
Cnr Lynnwood Road & Sussex Ave  
Lynnwood Ridge, 0081

### **Postal Address**

P.O. Box 74571  
Lynnwood Ridge  
0040

### **Customer Contact Division**

0860-**FAISOM** (0860-**324766**)  
**Telephone:** +27 12 470 9080  
**Facsimile:** + 27 12 348 3447  
**E-mail:** [info@faisombud.co.za](mailto:info@faisombud.co.za)  
**Website:** [www.faisombud.co.za](http://www.faisombud.co.za)

