



# FAIS DISCLOSURE DOCUMENT



**Visio Fund Management (Pty) Ltd.**

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5th Floor, 92 Rivonia Road, Sandton, 2196, Johannesburg

Directors: A Modiselle, P Moyal, A de Swardt

Visio Fund Management is an authorised FSP (license no. 49566)



## INTRODUCTION

In terms of the General Code of Conduct of the Financial Advisory and Intermediary Services (“FAIS”) Act, Visio Fund Management (Pty) Ltd is required to disclose the information in this document to you.

You are therefore requested to read through the document carefully and sign the acknowledgement that you have read and understand the contents hereof.

If there is anything in this document that you do not understand, please request further information from us.

You are entitled to a copy of this document for your own records.

## AUTHORISED FINANCIAL SERVICES PROVIDER

Visio Fund Management (Pty) Ltd is an authorised financial services provider (FSP number 49566) in terms of Section 8 of the FAIS Act.

A copy of our license certificate is available on request.

Our details are as follows:

<b>Physical &amp; Postal address</b>	5 <sup>TH</sup> FLOOR, 92 RIVONIA ROAD, WIERDA VALLEY, SANDTON, 2196
<b>Contact person</b>	PATRICE MOYAL
<b>Telephone number</b>	+27 11 245 8900
<b>Fax number</b>	+27 11 245 8915
<b>E-mail</b>	info@visiofund.co.za

## FINANCIAL SERVICES AND PRODUCTS

The Financial Sector Conduct Authority has duly authorised Visio Fund Management (Pty) Ltd to render financial services as defined in terms of the FAIS Act in respect of the following financial products:

Category Description	Advice Automated	Advice Non-automated	Intermediary Scripted	Intermediary Other
<b>CATEGORY I</b>				
Securities and instruments		X		X
Participatory interest in a hedge fund		X		X
Shares		X		X
Money market instruments		X		X
Debentures and securitised debt		X		X
Warrants, certificates, and other instruments		X		X
Bonds		X		X
Derivative instruments		X		X
Participatory interests in a collective investment scheme		X		X
Long-term Deposits		X		X
Short-term Deposits		X		X
<b>CATEGORY II</b>				
Securities and instruments				X
Participatory interest in a hedge fund				X
Shares				X
Money market instruments				X
Debentures and securitised debt				X
Warrants, certificates and other instruments				X
Bonds				X
Derivative instruments				X
Participatory interests in one or more collective investment schemes				X
Long-term Deposits				X
Short-term Deposits				X
<b>CATEGORY IIA</b>				
Shares				X
Money market instruments				X
Debentures and securitised debt				X
Warrants, certificates, and other instruments				X
Bonds				X

Derivative instruments				X
Participatory interests in one or more collective investment schemes				X
Long-term Deposits				X
Short-term Deposits				X
Securities and instruments				X
Participatory interest in a hedge fund				X
General Category IIA experience				X

## AUTHORISED KEY INDIVIDUALS

The Financial Sector Conduct Authority has duly authorised key individual/s, Patrice Michael Moyal; Douglas Brian Wallace and Tassin Meyer to render financial services as defined in terms of the FAIS Act in respect of the following classes of business:

Short-term and Long-term deposits	Category I, II & IIA
Investments	Category I, II & IIA

## AUTHORISED REPRESENTATIVES

Visio Fund Management (Pty) Ltd has duly authorised the representatives as specified in Annexure A, to render financial services as defined in terms of the FAIS Act.

## PRODUCT SUPPLIERS

Visio Fund Management (Pty) Ltd does not market the products of product suppliers.

## PROTECTION OF PERSONAL INFORMATION

Visio respects your privacy and is committed to protect and responsibly manage your personal information. To comply with the new Protection of Personal Information (POPI) Act, Visio requires your consent and authorisation to process your information, including your special information as defined by the POPI Act, which Visio collects and processes to enable us to provide the services, assistance and/or product solutions you may require.

The POPI Act defines the “**processing**” of personal information as:

*“any operation or activity or any set of operations, whether or not by automatic means, concerning personal information, including –*

*(a) the collection, receipt, recording, organisation, collation, storage, updating or modification, retrieval, alteration, consultation, or use;*

*(b) dissemination by means of transmission, distribution or making available in any other form; or*

*(c) merging. Linking, as well as restriction, degradation, erasure or destruction of information.”*

Visio will collect the minimum required information from you and will process your personal information only for the purpose for which it was collected or as agreed with you. These purposes include:

- to render services to you, to help you take out or maintain financial products and/or carry out the transactions you requested, as well as to maintain our contractual relationship;
- to assist you with queries and/or claims relating to your financial plan;
- to confirm and verify your identity or to verify that you are an authorised user for security purposes, where applicable;
- for audit and record keeping purposes.

Apart from the above reasons, Visio will also process your personal information to comply with legal and regulatory requirements or industry codes to which we subscribe, or which apply to Visio, or when it is otherwise allowed by law.

There will be times when we may need to share your personal information with third party service providers and/or operators (for e.g., investment companies and auditors) who will be involved in the delivery of services to you or to Visio, in support of our service offerings to you and our business.

An ‘operator’ is defined by the POPI Act as: *“a person who processes personal information for a responsible party in terms of a contract or mandate, without coming under the direct authority of that party”*. Visio is the responsible party with respect to your personal information.

Visio uses an information system called DocFox (<https://docfox.co.za/privacy-policy/>) as one of the third-party operators to process your personal information to help us in providing you with the required services.

Visio is required by law to have agreements in place with these operators to ensure that they protect and process personal information securely.

As a client, you have the right, at any time:

- to ask Visio to update, correct or delete your personal information, which includes the authority and consent provided in this form;
- to object to the processing of your personal information;
- to withdraw your consent;
- to complain to the Information Regulator, whose contact details are:

Tel: 012 406 4818

Email address: [infoereg@justice.gov.za](mailto:infoereg@justice.gov.za)

## CONFLICT OF INTEREST MANAGEMENT POLICY

Visio Fund Management (Pty) Ltd has adopted and implemented a conflict-of-interest management policy that complies with the provisions of the FAIS Act.

The conflict-of-interest management policy and accompanying registers can be obtained from Visio Fund Management (Pty) Ltd

## INDEMNITY COVER

Visio Fund Management (Pty) Ltd holds Professional Indemnity cover.

## COMPLAINTS

Should you wish to pursue a complaint against a key individual or representative of Visio Fund Management (Pty) Ltd, you should address the complaint in writing. The Complaints procedure is available on request, from the internal Compliance Officer.

If you cannot settle your complaint with us, you are entitled to refer it to the office of the FAIS Ombud, at or telephone number.

<b>Address</b>	P.O Box 74571, Lynnwood Ridge, 0040
<b>Telephone number</b>	0860 324 766
<b>E-mail</b>	info@faisombud.co.za

The Ombud has been created to provide you with a redress mechanism for any inappropriate financial advice that you feel may have been given to you by a financial services provider.

### COMPLIANCE OFFICER

<b>Name</b>	MASTHEAD (Pty) Ltd
<b>Physical &amp; Postal Address</b>	WESTERN WOODS OFFICE PARK, JACARANDA PLACE, 145 WESTERN SERVICES RD, WOODMEAD, 2191
<b>Contact person</b>	GIDEON POTGIETER
<b>Telephone number</b>	051 401 8300
<b>E-mail</b>	gpotgieter@masthead.co.za

### FINANCIAL INTELLIGENCE CENTRE ACT (“FICA”)

In terms of FICA, Visio Fund Management (Pty) Ltd is an accountable institution (ORG Number: 47077) and has an approved FICA Risk Management and Compliance Programme. We are required to identify our prospective clients, verify the given information, and keep records of the verifying documents.

We are also obliged to report suspicious and unusual transactions that may facilitate money laundering to the authorities.

## DISCLAIMER

You should note that there are risks involved in buying or selling any financial product, and past performance of a financial product is not necessarily indicative of the future performance.

The value of financial products can increase as well as decrease over time, depending on the value of the underlying securities and market conditions.

Hedge Funds are collective investment schemes to which the prescribed provisions of the Collective Investment Schemes Control Act (Act 45 of 2002) apply.

## CLIENT ACKNOWLEDGEMENT

I/We the undersigned hereby acknowledge receipt of this FAIS Disclosure Document and have read and understand the contents.

<b>Signed</b>	
<b>Print name</b>	
<b>Designation</b>	
<b>Date</b>	

<b>Signed</b>	
<b>Print name</b>	
<b>Designation</b>	
<b>Date</b>	



Category	Sub Cat	Category Description	UE	KF	CF	OK	PM	PEM	VMM	DW	TM	SM	MF	VM	DT	MiCap-JR	VFM	JP	JM
1	8	Shares	R; A; I	R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I		R; A; I	R; A; I	R; A; I	R; A; I	R; A; I; US	
1	9	Money market instruments	R; A; I	R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I		R; A; I	R; A; I		R; A; I	R; A; I; US	
1	10	Debentures and securitised debt	R; A; I	R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I		R; A; I	R; A; I		R; A; I	R; A; I; US	
1	11	Warrants, certificates and other instruments	R; A; I	R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I		R; A; I	R; A; I		R; A; I	R; A; I; US	
1	12	Bonds	R; A; I	R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I		R; A; I	R; A; I		R; A; I	R; A; I; US	
1	13	Derivative instruments	R; A; I	R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I		R; A; I	R; A; I		R; A; I	R; A; I; US	
1	14	Participatory interests in Collective Investment Schemes	R; A; I	R; A; I	R; A; I	R; A; I	KI; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I	R; A; I		R; A; I	R; A; I		R; A; I	R; A; I; US	
1	17	Deposits Defined in the Banks Act - exceeding 12 months	R; A; I	R; A; I			KI; R; A; I			KI; R; A; I				R; A; I	R; A; I				
1	18	Deposits defined in the Banks act - 12 months or less	R; A; I	R; A; I			KI; R; A; I			KI; R; A; I				R; A; I	R; A; I				
1	25	Securities and instruments							R; A; I			R; A; I					R; A; I		
1	26	Participatory interest in a hedge fund	R; A; I	R; A; I	R; A; I	R; A; I	KI; R; A; I	R; A; I		KI; R; A; I	R; A; I	R; A; I		R; A; I	R; A; I			R; A; I; US	
2	5	Shares	R; I	R; I	R; I	R; I	KI; R; I	R; I	R; I; US	KI; R; I	R; I	R; I	R; I	R; I	R; I; US	R; I	R; I	R; I; US	R; I
2	6	Money market instruments	R; I	R; I	R; I	R; I	KI; R; I	R; I	R; I; US	KI; R; I	R; I	R; I	R; I	R; I	R; I; US		R; I	R; I; US	R; I
2	7	Debentures and securitised debt	R; I	R; I	R; I	R; I	KI; R; I	R; I	R; I; US	KI; R; I	R; I	R; I	R; I	R; I	R; I; US		R; I	R; I; US	R; I
2	8	Warrants, certificates, and other instruments	R; I	R; I	R; I	R; I	KI; R; I	R; I	R; I; US	KI; R; I	R; I	R; I		R; I	R; I; US		R; I	R; I; US	R; I

2	9	Bonds	R; I	R; I	R; I	R; I	KI; R; I	R; I	R; I; US	KI; R; I	R; I	R; I	R; I	R; I	R; I; US		R; I	R; I; US	R; I
2	10	Derivative instruments	R; I	R; I		R; I	KI; R; I	R; I	R; I; US	KI; R; I	R; I	R; I	R; I	R; I	R; I; US		R; I	R; I; US	R; I
2	11	Participatory interests in Collective Investment Schemes	R; I	R; I			KI; I	R; I	R; I; US	KI; R; I	R; I	R; I	R; I	R; I	R; I; US		R; I	R; I; US	R; I
2	13	Long-term Deposits		R; I			KI; R; I		R; I; US	KI; R; I	R; I	R; I	R; I	R; I	R; I; US		R; I	R; I; US	R; I
2	14	Short-term Deposits		R; I			KI; R; I		R; I; US	KI; R; I	R; I	R; I	R; I	R; I	R; I; US			R; I; US	R; I
2	19	Securities and instruments	R; I	R; I	R; I	R; I	R; I	R; I	R; I; US	R; I	R; I	R; I	R; I	R; I	R; I		R; I	R; I; US	R; I
2	20	Participatory interest in a hedge fund	R; I	R; I			KI; R; I	R; I	R; I; US	KI; R; I	R; I	R; I		R; I	R; I; US			R; I; US	R; I
20	00	CATEGORY IIA - Hedge Fund FSP	R; I	R; I	R; I	R; I	KI; R; I	R; I	R; I; US	KI; R; I	R; I	R; I	R; I	R; I	R; I; US		R; I	R; I; US	R; I

<b>KEY:</b>	
<b>UE</b>	Ulrike Engling
<b>KF</b>	Kerris Foster
<b>CF</b>	Craig French
<b>OK</b>	Ofri Kahlon
<b>PM</b>	Patrice Moyal
<b>PEM</b>	Phihlelo Matjekana
<b>VMM</b>	Vulani Mampane
<b>SM</b>	Sindiso Mujaji
<b>TM</b>	Tassin Meyer
<b>VFM</b>	Visio Fund Management (Pty) Ltd
<b>DW</b>	Douglas Wallace
<b>MF</b>	Michael Flax
<b>VM</b>	Vizikhungo Mpono
<b>DT</b>	David Talpert
<b>R</b>	Representative

<b>KI</b>	Key Individual
<b>I</b>	Intermediary
<b>A</b>	Advice
<b>US</b>	Under Supervision
<b>MICap-JR</b>	MICapital General Partner (Pty) Ltd
<b>JP</b>	Jandre Pieterse
<b>JM</b>	Jonathan Myerson