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Signal Asset Management (Pty) Ltd

Authorised Financial Services Provider FSP 30893

**LETTER OF INTRODUCTION incorporating statutory disclosures required in terms of  
Financial Advisory & Intermediary Services Act 2002**

Dear Client

*This Letter of Introduction is an important document and you are requested to please read it carefully. In terms of the Financial Advisory & Intermediary Services Act 2002 we are required to make you aware of certain information in respect of our business at an early stage. You may be requested to sign an Acknowledgement of Understanding for our records. If there is anything that you do not understand please request further information from us. You are entitled to a copy of this document for your own records.*

**License Status**

Signal Asset Management (Pty) Ltd is licensed as an Advisory and Discretionary Financial Services Provider in terms of FAIS, license number, 30893. A copy of our license is available upon request.

**Authorised Financial Services and Products**

Signal Asset Management (Pty) Ltd is authorised to render financial advice and undertake an investment mandate in respect of the following financial products:

### Key Individual and Representative (ALAN LANCE AMLER) Products

Category Description	FSP	Sub-Category	Advice	Intermediary
CATEGORY I				
Securities and Instruments : Shares	X	8	X	X
Securities and Instruments : Money market instruments	X	9	X	X
Securities and Instruments : Debentures and securitised debt	X	10	X	X
Securities and Instruments : Warrants, certificates and other instruments	X	11	X	X
Securities and Instruments : Bonds	X	12	X	X
Securities and Instruments : Derivative instruments	X	13	X	X
Participatory interests in Collective Investment Schemes	X	14	X	X
Deposits defined in the Banks act – 12 months or less	X	18	X	X
CATEGORY II - Discretionary FSP				
Securities and Instruments : Shares	X	5		X
Securities and Instruments : Money market instruments	X	6		X
Securities and Instruments : Debentures and securitised debt	X	7		X
Securities and Instruments : Warrants, certificates and other instruments	X	8		X
Securities and Instruments : Bonds	X	9		X
Securities and Instruments : Derivative instruments	X	10		X
Participatory interests in Collective Investment Schemes	X	11		X
Short-term Deposits	X	14		X

### Key Individual and Representative (ALAN LANCE AMLER) Products

#### SERVICES UNDER SUPERVISION

Category Description	FSP	Sub-Category	Advice	Intermediary
CATEGORY I				
Long-Term Insurance Subcategory B1	X	3	X	X
Long-Term Insurance Subcategory C	X	4	X	X
Retail Pension Benefits	X	5	X	X
Pension Fund Benefits (Excluding Retail)	X	7	X	X

### Key Individual and Representative (RODNEY LEWIS STEIN) Products

Category Description	FSP	Sub-Category	Advice	Intermediary
CATEGORY I				
Long-Term Insurance Subcategory B1	X	3	X	X
Long-Term Insurance Subcategory C	X	4	X	X
Retail Pension Benefits	X	5	X	X
Pension Fund Benefits (Excluding Retail)	X	7	X	X

### Representative (RODNEY LEWIS STEIN) Products

#### SERVICES UNDER SUPERVISION

Category Description	FSP	Sub-Category	Advice	Intermediary
CATEGORY II				
Securities and Instruments : Shares	X	5		X
Securities and Instruments : Money market instruments	X	6		X
Securities and Instruments :	X	7		X

Debentures and securitized debt				
Securities and Instruments : Warrants, certificates and other instruments	X	8		X
Securities and Instruments : Bonds	X	9		X
Securities and Instruments : Derivative instruments	X	10		X

### Representative (BENJAMIN MARK POOLER) Products

Category Description	FSP	Sub-Category	Advice	Intermediary
CATEGORY II - Discretionary FSP				
Securities and Instruments : Shares	X	5		X
Securities and Instruments : Money market instruments	X	6		X
Securities and Instruments : Warrants, certificates and other instruments	X	8		X
Securities and Instruments : Bonds	X	9		X
Securities and Instruments : Derivative instruments	X	10		X
Participatory interests in Collective Investment Schemes	X	11		X
Foreign currency denominated investment instruments	X	12		X

### Representative (BENJAMIN MARK POOLER) Products

#### SERVICES UNDER SUPERVISION

Category Description	FSP	Sub-Category	Advice	Intermediary
CATEGORY I				
Long-Term Insurance Subcategory B1	X	3	X	X

Long-Term Insurance Subcategory C	X	4	X	X
Retail Pension Benefits	X	5	X	X
Pension Fund Benefits (Excluding Retail)	X	7	X	X

### Representative (ANDRE ROBERT KAY) Products

#### SERVICES UNDER SUPERVISION

Category Description	FSP	Sub-Category	Advice	Intermediary
CATEGORY I				
Long-Term Insurance Subcategory B1	X	3	X	X
Long-Term Insurance Subcategory C	X	4	X	X
Retail Pension Benefits	X	5	X	X
Pension Fund Benefits (Excluding Retail)	X	7	X	X
Participatory Interests in Collective Investment Schemes	X	14	X	X

If you have any enquiries please contact the FSB call centre 0800 110 443.

#### Authorised Representatives

Signal Asset Management (Pty) Ltd has duly authorised the individuals below to render advice and intermediary services as defined in terms of FAIS

Key Individuals – Alan Lance Amler and Rodney Lewis Stein.

Representatives - Alan Lance Amler, Rodney Lewis Stein, Benjamin Mark Pooler and Andre Robert Kay.

#### Exemptions with regard to any matter covered by the FAIS Act

No specific exemption was granted to Signal Asset Management (Pty) Ltd by the Registrar.

### **Conflicts of Interest**

Conflicts of interest are inherent in any business and therefore the aim of Signal Asset Management (Pty) Ltd is to take steps to identify, disclose and manage conflicts of interest that may arise and to further ensure that our clients are not unduly prejudiced.

Signal Asset Management (Pty) Ltd has no shareholding in any product supplier.

### **Professional Indemnity-, Fidelity Insurance or Guarantees**

Signal Asset Management (Pty) Ltd holds professional indemnity insurance underwritten by Marsh (Pty) Ltd.

### **What will you have to pay us for our services?**

The costs of our services will be laid out in our mandate agreement which is to be signed, before we conclude any business for you. Any additional fees that may be applicable will be disclosed in advance. This will include information regarding the nature, extent and frequency of any incentive, remuneration, consideration, commission or fees which will or may become payable to Signal Asset Management (Pty) Ltd by the relevant counterparty.

Signal Asset Management (Pty) Ltd derives > 30% of its turnover from the Allan Gray LISP (Linked Investment Service Provider).

### **Compliance with Financial Advisory and Intermediary Services Act “FAIS”**

Compliance with the FAIS Act is monitored by Gerry Grispos of Compli-Serve SA (Pty) Ltd, who is contactable on 086 1273783 or email [Gerry@compliserve.co.za](mailto:Gerry@compliserve.co.za)

### **Financial Intelligence Centre Act (FICA)**

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

## Complaints

Should you wish to pursue a complaint against a representative of Signal Asset Management (Pty) Ltd, you should address your complaint in writing to Mr. Alan Amler a registered key person again at the address shown at the head of this letter.

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

Contact particulars of the Ombud: PO Box 74571

Lynnwood Ridge 0040

Tel 012 470 9080

Fax 012 348 3447

[info@faisombud.co.za](mailto:info@faisombud.co.za)

[www.faisombud.co.za](http://www.faisombud.co.za)

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## CLIENT ACKNOWLEDGEMENT

I/We the undersigned hereby acknowledge receipt of this Letter of Introduction and have read and understood the contents.

Signed \_\_\_\_\_ Print Name \_\_\_\_\_

Signed \_\_\_\_\_ Print Name \_\_\_\_\_

DATE \_\_\_\_\_

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