



**DISCLOSURE DOCUMENT**

**FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT**

**OAKHAVEN CAPITAL (PTY) LTD**

**FSP 43738**

## 1. INTRODUCTION

In terms of Part IV of the General Code of Conduct for Authorised Financial Services Providers and Representatives published in terms of the Financial Advisory and Intermediary Services Act (FAIS), certain information must be disclosed to clients by authorised financial services providers.

Oakhaven Capital (Pty) Ltd is an authorised financial services provider in terms of FAIS and is regulated by the Financial Sector Conduct Authority (“FSCA”). A copy of the FSP license certificate is available upon request.

As a client of Oakhaven Capital (Pty) Ltd (“the FSP”), please read through this document carefully and should anything in this document be unclear, please request further information from the FSP.

Please sign the acknowledgement that you have read and understood the contents hereof at the end of this document.

The business particulars of the FSP is listed below:

COMPANY REGISTRATION NUMBER:	2011/002918/07
FSP NUMBER:	43738
DATE AUTHORISED AS AN FSP:	12/06/2012
PHYSICAL ADDRESS:	SUITE 15, BUILDING 2 114 OXFORD ROAD HOUGHTON ESTATE JOHANNESBURG SOUTH AFRICA 2196
CONTACT PERSON:	BRUCE THISTLEWHITE
TELEPHONE NUMBER:	011 447 1360
E-MAIL:	BRUCE@OAKHAVENCAP.CO.ZA
WEBSITE:	WWW.OAKHAVEN.CAPITAL

## 2. FINANCIAL SERVICES AND PRODUCTS

The FSCA has duly authorised the FSP to render financial services in respect of the following category and sub-categories of financial products:

CATEGORY DESCRIPTION	ADVICE NON-AUTOMATED	INTERMEDIARY OTHER
CATEGORY I		
SHARES	X	X
MONEY MARKET INSTRUMENTS	X	X

BONDS	X	X
DERIVATIVE INSTRUMENTS	X	X
LONG-TERM DEPOSITS	X	X
SHORT-TERM DEPOSITS	X	X
STRUCTURED DEPOSITS	X	X
CATEGORY II - DISCRETIONARY FSP		
SHARES		X
MONEY MARKET INSTRUMENTS		X
BONDS		X
DERIVATIVE INSTRUMENTS		X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X
PARTICIPATORY INTEREST IN A HEDGE FUND		X
CATEGORY IIA – HEDGE FUND FSP		
SHARES		X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X
PARTICIPATORY INTEREST IN A HEDGE FUND		X
GENERAL CATEGORY IIA EXPERIENCE		X

### 3. AUTHORISED KEY INDIVIDUALS AND REPRESENTATIVES

The FSCA has duly authorised the following key individuals to manage and oversee the following classes of business for and on behalf of the FSP:

- i. Bruce Thistlewhite -

CLASS OF BUSINESS	CATEGORY I	CATEGORY II	CATEGORY IIA
Short-Term and Long-Term Deposits	YES		
Structured Deposits	YES		
Investments	YES	YES	YES

- ii. Johan Roos -

CLASS OF BUSINESS	CATEGORY I	CATEGORY II	CATEGORY IIA
Short-Term and Long-Term Deposits	YES		
Structured Deposits	YES		

Investments	YES	YES	YES
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The FSP has duly appointed the following representatives to render financial services for and on its behalf and the FSP accepts responsibility for the activities of these representatives:

i. Bruce Thistlewhite –

CATEGORY DESCRIPTION	ADVICE NON-AUTOMATED	INTERMEDIARY OTHER
CATEGORY I		
SHARES	X	X
MONEY MARKET INSTRUMENTS	X	X
BONDS	X	X
DERIVATIVE INSTRUMENTS	X	X
LONG-TERM DEPOSITS	X	X
SHORT-TERM DEPOSITS	X	X
STRUCTURED DEPOSITS	X	X
CATEGORY II - DISCRETIONARY FSP		
SHARES		X
MONEY MARKET INSTRUMENTS		X
BONDS		X
DERIVATIVE INSTRUMENTS		X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X
PARTICIPATORY INTEREST IN A HEDGE FUND		X
CATEGORY IIA – HEDGE FUND FSP		
SHARES		X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X
PARTICIPATORY INTEREST IN A HEDGE FUND		X
GENERAL CATEGORY IIA EXPERIENCE		X

iii. Johan Roos -

CATEGORY DESCRIPTION	ADVICE NON-AUTOMATED	INTERMEDIARY OTHER
CATEGORY I		
SHARES	X	X
MONEY MARKET INSTRUMENTS	X	X
BONDS	X	X
DERIVATIVE INSTRUMENTS	X	X

LONG-TERM DEPOSITS	X	X
SHORT-TERM DEPOSITS	X	X
STRUCTURED DEPOSITS	X	X
CATEGORY II - DISCRETIONARY FSP		
SHARES		X
MONEY MARKET INSTRUMENTS		X
BONDS		X
DERIVATIVE INSTRUMENTS		X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X
PARTICIPATORY INTEREST IN A HEDGE FUND		X
CATEGORY IIA – HEDGE FUND FSP		
SHARES		X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X
PARTICIPATORY INTEREST IN A HEDGE FUND		X
GENERAL CATEGORY IIA EXPERIENCE		X

iii. Byron Green

CATEGORY DESCRIPTION	ADVICE NON-AUTOMATED	INTERMEDIARY OTHER
CATEGORY I		
SHARES	X	X
MONEY MARKET INSTRUMENTS	X	X
BONDS	X	X
DERIVATIVE INSTRUMENTS	X	X
LONG-TERM DEPOSITS	X	X
SHORT-TERM DEPOSITS	X	X
STRUCTURED DEPOSITS	X	X
CATEGORY II - DISCRETIONARY FSP		
SHARES		X
MONEY MARKET INSTRUMENTS		X
BONDS		X
DERIVATIVE INSTRUMENTS		X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X
PARTICIPATORY INTEREST IN A HEDGE FUND		X
CATEGORY IIA – HEDGE FUND FSP		
SHARES		X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X

PARTICIPATORY INTEREST IN A HEDGE FUND		X
GENERAL CATEGORY IIA EXPERIENCE		X

iv. Kevin Wides

CATEGORY DESCRIPTION	ADVICE NON- AUTOMATED	INTERMEDIARY OTHER	SERVICES UNDER SUPERVISION
CATEGORY I			
SHARES	X	X	
MONEY MARKET INSTRUMENTS	X	X	
BONDS	X	X	
DERIVATIVE INSTRUMENTS	X	X	
LONG-TERM DEPOSITS	X	X	
SHORT-TERM DEPOSITS	X	X	
STRUCTURED DEPOSITS	X	X	X
CATEGORY II - DISCRETIONARY FSP			
SHARES		X	X
MONEY MARKET INSTRUMENTS		X	
BONDS		X	
DERIVATIVE INSTRUMENTS		X	
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X	
PARTICIPATORY INTEREST IN A HEDGE FUND		X	X
CATEGORY IIA – HEDGE FUND FSP			
SHARES		X	X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X	X
PARTICIPATORY INTEREST IN A HEDGE FUND		X	X
GENERAL CATEGORY IIA EXPERIENCE		X	X

v. Linda Nyembezi

CATEGORY DESCRIPTION	ADVICE NON- AUTOMATED	INTERMEDIARY OTHER	SERVICES UNDER SUPERVISION
CATEGORY I			
SHARES	X	X	X
MONEY MARKET INSTRUMENTS	X	X	X
BONDS	X	X	X
DERIVATIVE INSTRUMENTS	X	X	X

LONG-TERM DEPOSITS	X	X	X
SHORT-TERM DEPOSITS	X	X	X
STRUCTURED DEPOSITS	X	X	X
CATEGORY II - DISCRETIONARY FSP			
SHARES		X	X
MONEY MARKET INSTRUMENTS		X	X
BONDS		X	X
DERIVATIVE INSTRUMENTS		X	X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X	X
PARTICIPATORY INTEREST IN A HEDGE FUND		X	X
CATEGORY IIA – HEDGE FUND FSP			
SHARES		X	X
PARTICIPATORY INTERESTS IN ONE OR MORE COLLECTIVE INVESTMENT SCHEMES		X	X
PARTICIPATORY INTEREST IN A HEDGE FUND		X	X
GENERAL CATEGORY IIA EXPERIENCE		X	X

**4. PRODUCT SUPPLIER(S)**

The FSP does not make use of any product suppliers or market any products of any product suppliers.

**5. CONFLICT OF INTEREST MANAGEMENT POLICY**

The FSP has adopted and implemented a Conflict of Interest Management Policy. This policy can be requested from Bruce Thistlewhite via email at [bruce@oakhavencap.co.za](mailto:bruce@oakhavencap.co.za).

**6. INDEMNITY COVER**

The FSP has valid professional indemnity insurance in place.

**7. FINANCIAL INTELLIGENCE CENTRE ACT (FICA)**

In terms of FICA the FSP is registered as an accountable institution. The must follow a risk-based approach to money laundering and related activities. By following this approach, the FSP is required to identify all prospective clients and verify their given information to accurately assess the risks involved with a business relationship and to apply appropriate methods and levels of client verification.

The FSP must report any suspicious and unusual transactions that may facilitate money laundering and related activities in the prescribed form and manner to the relevant authorities.

## 8. COMPLAINTS MANAGEMENT

Should you wish to lodge a complaint against either a key individual or a representative of the FSP, the complaint should be addressed to Bruce Thistlewhite and be sent via email to [bruce@oakhavencap.co.za](mailto:bruce@oakhavencap.co.za).

Sufficient details in respect of and the reasons for said complaint must be provided. The FSP will deal with the complaint in accordance with the Complaints Resolution Policy implemented by the FSP.

If the complaint cannot be settled satisfactorily with the FSP, the complaint may be referred to the office of the FAIS Ombud that provides for a further redress mechanism.

TELEPHONE NUMBER:	086 066 3247
E-MAIL:	INFO@FAISOMBUD.CO.ZA
WEBSITE:	WWW.FAISOMBUD.CO.ZA

## 9. COMPLIANCE OFFICER

The FSP has appointed Independent Compliance Services (Pty) Ltd to provide it with external compliance monitoring and risk management services.

PRACTICE NUMBER:	1258
PHYSICAL ADDRESS:	OFFICE 9, HERITAGE SQUARE CNR GLADSTONE & VREDE STREETS DURBANVILLE SOUTH AFRICA 7551
TELEPHONE NUMBER:	021 975 6597
E-MAIL:	INFO@COMPLIANCESERVICES.CO.ZA
WEBSITE:	WWW.COMPLIANCESERVICES.CO.ZA



**10. DISCLAIMER**

A client should take cognisance of the fact that there are always risks involved when buying, selling or investing in any financial product. The value of financial products can and may increase as well as decrease over time, depending on the value of underlying securities and market conditions.

Past returns may not be indicative of future returns and an investor should always seek independent and professional financial, legal and tax advice which is relevant to their unique and individual circumstances before making any investment decision.

Hedge Funds are collective investment schemes to which the prescribed provisions of the Collective Investment Schemes Control Act applies.

**11. CLIENT ACKNOWLEDGMENT**

I \_\_\_\_\_ the undersigned, hereby acknowledge receipt of this Disclosure Document and have read and understood the contents thereof.

Signed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_ .

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