



**westbrooke**

Alternative Asset Management

**Notice of disclosure in terms of the Financial Advisory & Intermediary Services Act No. 37 of 2002 (“FAIS Act”) of The Westbrooke group (“the FSP”) relating to the provision of financial services.**

Entered into between the FSP and its client’s.

**WHEREAS** the Client requires alternative investment products (“the Services”) and wishes to engage with the FSP for this express purpose.

**AND WHEREAS the FSP** has agreed to provide the Client with such Services subject to the terms and conditions as set out hereunder.

**AND WHEREAS** the FSP wishes to make known to you certain information relating to their professional status, license authorisation and other information as required in terms of the Financial Advisory and Intermediary Services Act 2002 “FAIS”

**PLEASE NOTE THAT YOU WILL NOT BE ASKED TO SIGN THIS DOCUMENT. UPON RECEIPT OF THIS DOCUMENT THE FSP ASSUMES THE CLIENT ACKNOWLEDGES AND AGREES TO BE BOUND BY THE CONTENTS HEREIN AND WE THEREFORE ASK THAT YOU READ IT CAREFULLY.**

The FSP is a licensed Financial Services Provider in terms of FAIS, please refer to Appendix 1 for a list of the Westbrooke group entities license numbers. A copy of each license is available upon request.

**Financial Services and Products**

All entities within the Westbrooke group are authorized financial services providers, in respect of the financial product types listed on the FSCA website. Please find the link to the website here: [https://www.fsc.co.za/Fais/Search\\_FSP.htm](https://www.fsc.co.za/Fais/Search_FSP.htm).

**External third parties**

The FSP will not be held responsible for any financial advice provided by any third party and the Client hereby indemnifies the FSP in this specific regard against any financial loss suffered by themselves or any third party as a result thereof.

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## **Fees**

Please refer to your relevant product subscription form and brochure relating to the fees charged by the Westbrooke group on your investments with us.

## **Confidentiality**

Where applicable all information will be kept by the FSP on a confidential basis and will not be made available to third parties by the FSP unless so authorised by the client beforehand or if the FSP is required to divulge such information in the public interest or under any law.

## **Compliance with Financial Advisory and Intermediary Services Act "FAIS"**

Compliance with the FAIS Act is monitored by Compli-Serve Gauteng (Pty) Ltd. The registered compliance officer is Jan H Scholtz, who is contactable on 0861 273 783 / 00 27 83 631 6570 or [jan@compliserve.co.za](mailto:jan@compliserve.co.za).

## **Conflicts of Interest**

Potential conflicts of interest are inherent in any business and therefore it is not the aim of the FSP to avoid all conflicts but rather to take steps to identify and manage conflicts of interest to ensure that our clients are not unduly prejudiced. The FSP has a conflict-of-interest policy and register in place which can be viewed upon request.

## **Complaints**

Should you wish to pursue a complaint against the representative of the FSP itself, you should address your complaint in writing to Dino Zuccollo a registered key person of the Westbrooke group on [dino@westbrooke.co.za](mailto:dino@westbrooke.co.za).

If you cannot settle your complaint with us, you are entitled to refer it to the FAIS Ombud. The Ombud has been created to provide you with a redress mechanism for any inappropriate financial advice that may have been given to you.

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)

## **General**

The FSP holds professional indemnity insurance underwritten by Hollard Insurance Co Ltd. If you require any further information relating to this document kindly contact our offices at [info@waam-sa.com](mailto:info@waam-sa.com).



## Appendix 1

The Westbrooke Group includes the following FSP's:

Westbrooke Alternative Asset Management (Investment Manager)	FSP 46750
Westbrooke Alternative Rental Income Assets Ltd	FSP 45753
Westbrooke Capital Hospitality Ltd	FSP 46462
Westbrooke Aria 2018 Ltd	FSP 48672
Westbrooke Stac 2018 Ltd	FSP 48756
Westbrooke Alto 2018 Ltd	FSP 48805
Westbrooke Aria 2019 Ltd	FSP 49642
Westbrooke Stac 2019 Ltd	FSP 49640
Westbrooke Host 2019 Ltd	FSP 49641
Westbrooke Aria Plus 2019 Ltd	FSP 49644
Westbrooke Aria 2020 Ltd	FSP 50271
Westbrooke Stac 2020 Ltd	FSP 50224
Westbrooke Aria Plus 2020 Ltd	FSP 50222
Westbrooke Aria 2022	FSP 50223
Westbrooke Stac 2021 (T/A Stac Preferred) Ltd	FSP 50378
Westbrooke Aria 2021 Ltd	FSP 50373