

# FAIS Disclosures – ARX|Pangaia

## Investment Manager Information

**Company Name:**

ARX|Pangaia (Pty) Ltd

**Company Registration Number:**

2012/217911/07

**Shareholders:**

50.00% held by Kaqala Investments 41 CC - Dugmore Family the Ultimate Beneficial Owner

50.00% held by ARX Pangaia B.V. - Human Family the Ultimate Beneficial Owner

**Financial Services Provider Number:**

46078

**Directors:**

Jacobus Johannes Human

Lowina Frederika Dugmore

**Key Individual:**

Lowina Dugmore, Post Graduate Certificate of Financial Planning

**Representatives**

Andrea Brand

**Representatives Under Supervision:**

Isel van der Merwe

Brendon Shaw

Johann Biermann

Grant Schuin

Neil Pienaar

**Registered Physical Address:**

3<sup>rd</sup> Floor

The Terraces

25 Protea Road

Claremont

7708

**Registered Postal Address:**

P.O. Box 45034

Claremont

7735

Tel: 021 671 6904

Fax: 021 671 8059

**Contact Persons:**

Lowina Dugmore

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Andrea Brand

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Email: [abrand@arxinvest.com](mailto:abrand@arxinvest.com)

**Compliance:**

Beanke Vermeulen

Multitask

Tel: 021 8514491

Fax: 0218514491

**Legal Capacity of ARX|Pangaia (Pty) Ltd:**

ARX|Pangaia is a Category II licensed discretionary investment manager, under FSB license number 46078.

ARX|Pangaia is licensed in the following categories:

Category Description	Advice	Intermediary
<b>CATEGORY I</b>		
Long-Term Insurance : Category C	X	X
Securities and Instruments :Shares	X	X
Securities and Instruments : Money market instruments	X	X
Securities and Instruments : Bonds	X	X
Securities and Instruments : Derivative instruments	X	X
Participatory interests in Collective Investment Schemes	X	X
Foreign currency denominated investment instruments	X	X
Deposits Defined in the Banks Act - exceeding 12 months	X	X
Deposits defined in the Banks act - 12 months or less	X	X
<b>CATEGORY II - Discretionary FSP</b>		
Retail Pension Benefits		X
Pension Funds Benefits (excluding retail pension benefits)		X
Securities and Instruments : Shares		X
Securities and Instruments : Money market instruments		X
Securities and Instruments : Debentures and securitised debt		X
Securities and Instruments : Warrants, certificates and other instruments		X
Securities and Instruments : Bonds		X
Securities and Instruments : Derivative instruments		X
Participatory interests in Collective Investment Schemes		X
Foreign currency denominated investment instruments		X

**Professional Indemnity Insurance**

Professional Indemnity is arranged via AIG up to a maximum limit of indemnity of R10m.

**Fees**

Fees will be levied as stipulated in the client mandate.

**Interest in Insurers**

Neither the company nor any director hold a shareholding of more than 10% in any registered financial services provider, classified as an insurer.

**Conflict of Interest Policy and Complaints Resolution System**

A copy of our Conflict of Interest Policy and Complaints Resolution System can be obtained from our offices.