



FAIS Disclosure Document

A. INTRODUCTION

In terms of the General Code of Conduct of the FAIS Act, Nottingham Road Asset Management (Pty) Ltd (Registration number 2023/841302/07) 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.

B. AUTHORISED FINANCIAL SERVICES PROVIDER

Nottingham Road Asset Management (Pty) Ltd is an authorised financial services provider (FSP number 53797) in terms of the FAIS Act.

A copy of our license certificate is available on request.

Entity Name	Nottingham Road Asset Management (Pty) Ltd
Registration Number	2023/841302/07
Postal Address	Office 8B, Emerald Building, Abrey Eco Park, 5 Abrey Road, Kloof, Durban, 3610
Physical Address	Same as the above physical address
Legal Status of the Entity	Private Company
Contact Person	Graeme Tennant
E-mail	graeme.tennant@nottinghamroad.co
Telephone Number	+27837782949



C. COMPLIANCE OFFICER

Name	Masthead (Pty) Ltd. Reg No: 2000/025700/07
Registration Number	2023/841302/07
Postal Address	Office 0115, 1st Floor, Pharos House, 70 Buckingham Terrace, Westville, 3629
Physical Address	Same as the above physical address
Contact Person	Ignatius Jacobs
E-mail	ijacobs@masthead.co.za
Telephone Number	+27827492657

D. FINANCIAL SERVICES AND PRODUCTS

Category Description	Advice	Intermediary
CATEGORY I		
Crypto Assets	X	X
CATEGORY II		
Crypto Assets		X

E. CONFLICT OF INTEREST MANAGEMENT POLICY

Please note that in accordance with legislation we keep an updated Conflict of Interest Management policy and disclosure register. This register informs you, our client, of all financial and ownership interests that I/we may become entitled to and lists the associate and business relationships of the FSP. This document ensures transparency in my/our dealings with our customers and is available for inspection.

I wish to advise that all information obtained or acquired about you shall remain confidential unless you provide written consent, or unless I am required by any law, to disclose such information.



F. COMPLAINTS

Should you wish to pursue a complaint against a key individual or representative of Nottingham Road Asset Management (Pty) Ltd, you should address the complaint in writing.

If you cannot settle your complaint with us, you are entitled to refer it to the office of the FAIS Ombud, at info@faisombud.co.za or telephone number 0860 324 766. 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.

G. FINANCIAL INTELLIGENCE CENTRE ACT (FICA)

In terms of FICA, Nottingham Road Asset Management (Pty) Ltd is an accountable institution. 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.

H. DISCLAIMER

Nottingham Road Asset Management (Pty) Ltd is an authorised financial services provider under the Financial Advisory and Intermediary Services Act (FSP number: 53797).

The FSP does not hold more than 10% of the shares issued by any product provider.

The FSP did not receive more than 30% of its total remuneration from any product provider.

I, Graeme Tennant, did not receive more than 30% of my remuneration from any product provider.

The FSP does not currently hold professional indemnity insurance, guarantees or fidelity insurance.

Nottingham Road Asset Management (Pty) Ltd promotes the fair treatment of clients by integrating the guidelines and principles of TCF in its Code of Ethics policy and in all business dealings with its clients.

Past performance is not necessarily indicative of future performance.

Buying and selling of financial products and financial instruments, including crypto assets, entails risk. Please ensure that you are always appropriately advised and aware of all risks involved.

No guarantee as to investment value or performance of any financial product is given or should be inferred.



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

Illustrations, forecasts or hypothetical data are not guaranteed and are provided for illustrative purposes only.

This document does not constitute a solicitation, invitation or investment recommendation. We do not imply that any specific financial product is suitable.

Prior to selecting a financial product, service or portfolio in which to invest, it is recommended that investors seek independent, specialised financial, legal and tax advice in this regard.

The laws of the Republic of South Africa shall govern any claim relating to or arising from the contents of this document.

I. AUTHORISED REPRESENTATIVES AND KEY INDIVIDUALS

The Financial Services Board has duly authorised the following representatives and key individuals to render financial services as defined in terms of the Financial Advisory and Intermediary Services (FAIS) Act in respect of the following financial products:

Cat	Cat Sub	Category Description	GT	RF
1	27	Crypto Assets	A, I, AKI	A, I, US

Cat	Cat Sub	Category Description	GT	RF
2	21	Crypto Assets	D, AKI	

Key

GT = Graeme Tennant. Mandated as a representative.

RF = Richard Fleuriot. Mandated as a representative.

A = Advice

I = Intermediary

D = Discretionary

US = Services Under Supervision

AKI = Authorised Key Individual



Nottingham Road Asset Management (Pty) Ltd accepts responsibility for the activities of the Representatives insofar as it is performed within the scope of the contractual agreement between Nottingham Road Asset Management (Pty) Ltd and the Representatives.

J. REMUNERATION PROFILE

Nottingham Road Asset Management (Pty) Ltd declare that their main income is derived from investment service fees, investment management and performance fees and consultation fees.

K. CLIENT ACKNOWLEDGMENT

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

Signed	
Print Name	
Date	