



**GENERAL DISCLOSURE NOTICE IN TERMS OF
THE FINANCIAL ADVISORY AND INTERMEDIARY SERVICES ACT 37 OF 2002**

**Deutsche Bank AG – Johannesburg Branch AND Deutsche Securities (SA) South Africa (Pty) Ltd
(hereinafter “Deutsche Bank South Africa”)**

This document applies to all Deutsche Bank South Africa (DBSA) FAIS regulated and licensed entities. The entities in this regard, as at 31 December 2020 are as follows:

- Deutsche Bank AG Johannesburg Branch – FSP 16698; and
- Deutsche Securities SA (Pty) Ltd – FSP 16701.

Deutsche Bank AG – Johannesburg Branch (FSP No: 16698) is a registered Branch of a foreign bank with the Prudential Authority of the South African Reserve Bank and an authorised Financial Services Provider in terms of the Financial Advisory and Intermediary Services Act 37 of 2002 as amended. Our commitment is to render financial services with integrity, discipline, honesty, fairness, due care and diligence and to meet the requirements of the FAIS Act.

Deutsche Securities (SA) South Africa (Pty) Ltd (FSP No: 16701) is an authorised Financial Services Provider in terms of the Financial Advisory and Intermediary Services Act 37 of 2002 as amended. Our commitment is to render financial services with integrity, discipline, honesty, fairness, due care and diligence and to meet the requirements of the FAIS Act.

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| <p>Details of Deutsche Bank South Africa</p> | <p>Physical Address:</p> <p>3 Exchange Square 87 Maude Street Sandton Johannesburg 2196</p> <p>Contact person: Mr. Johan Gibhard Tel: +27 (11) 775 7000 Fax: +27 (11) 775 7449</p> <p>Web address : www.db.com/southafrica</p> |
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Chairman of the Supervisory Board: Paul Achleitner.

Management Board: Christian Sewing (Chairman), Karl von Rohr, Fabrizio Campelli, Frank Kuhnke, Bernd Leukert, Stuart Lewis, James von Moltke, Alexander von zur Mühlen, Christiana Riley, Stefan Simon.

Deutsche Bank Aktiengesellschaft domiciled in Frankfurt am Main; Local Court of Frankfurt am Main, HRB No 30 000; VAT ID No DE114103379; www.db.com

Branch Managers: Muneer Ismail (CEO), Johannes Engel (COO), Kgomo Molefakgotla (CFO), Johan Gibhard (Head of Compliance)



The FSP's are licensed for Category I (Advice and Intermediary Services) and have been approved for the following products, respectively:

Deutsche Bank AG – Johannesburg Branch

| Category Description |
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| 1.8. Securities and Instruments: Shares |
| 1.9. Securities and Instruments: Money market instruments |
| 1.10. Securities and Instruments: Debentures and securitized debt |
| 1.11. Securities and Instruments: Warrants, certificates and other instruments |
| 1.12. Securities and Instruments: Bonds |
| 1.13. Securities and Instruments: Derivative Instruments |
| 1.14. Participatory Interests in a Collective Investment Scheme |
| 1.17. Long-term Deposits |
| 1.18. Short-term Deposits |
| 1.24. Structured Deposits |
| 1.25. Securities and Instruments: Other |
| 1.26. Participatory Interests in a hedge fund |

Deutsche Securities (SA) South Africa (Pty) Ltd

| Category Description |
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| 1.8. Securities and Instruments :Shares |

A copy of our FSP licenses and the conditions of the licenses are available on request from the Key Individuals or Compliance Officer.

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| Key Individuals | <p>It is hereby confirmed that all the Key Individuals of DBSA are deemed Fit and Proper in terms of the FAIS Fit and Proper Requirements (BN 194 of 2017). The following persons act as Key Individuals on behalf of the FSP's:</p> <p><u>Deutsche Bank AG – Johannesburg Branch:</u></p> <ul style="list-style-type: none"> • Fulu Mudau • Gregory Scott <p><u>Deutsche Securities South Africa (Pty) Ltd:</u></p> <ul style="list-style-type: none"> • Gregory Scott |
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| <p>Representatives</p> <p>Remuneration</p> | <p>Deutsche Bank South Africa's representatives are authorized to provide advice and intermediary services in terms of a letter of employment. A disclosure letter and confirmation of their appointment is available on request.</p> <p>All representatives comply with the Fit and Proper requirements of the Act. If a representative is rendering financial services under supervision, clients will be informed thereof.</p> <p>Representatives participate in the same salary and incentive structures as other staff member of DBSA.</p> <p>The following individuals act as Representatives on behalf of the FSP's:</p> <p><u>Deutsche Bank AG – Johannesburg Branch:</u></p> <ul style="list-style-type: none"> • Fulu Mudau • Paramesan Mathen <p><u>Deutsche Securities South Africa (Pty) Ltd:</u></p> <ul style="list-style-type: none"> • Mashadi Mogase • Letitia Chiman |
| <p>Compliance Officer</p> | <p>The authorised FAIS compliance officer for Deutsche Bank South Africa FSP's is Leonard Motshidi and can be contacted on:</p> <p>Tel: +27 (11) 775 7000; E-mail address: leonard.motshidi@db.com</p> |
| <p>Applicable Exemptions</p> | <p>The Bank has been granted exemption from provisions of the FAIS Act in as far as these relate to the business conducted by the bank in its capacity as an authorised user on the JSE Limited in accordance with Section 45 (1) (a) of the FAIS Act.</p> <p>In addition, the Bank is exempted from the provisions of FAIS in as far as it renders services to clients as defined in the Merchant Banking Exemption.</p> |
| <p>Insurance</p> | <p>Deutsche Bank South Africa holds Professional Indemnity and Commercial Crime Insurance.</p> |
| <p>Complaints</p> | <p>A Complaint, as defined in the FAIS Act, means a specific complaint relating to a financial service rendered by a financial services provider (FSP) or representative to the complainant on or after the date of commencement of the FAIS Act and in which complaint it is alleged that the provider or representative:</p> <ul style="list-style-type: none"> • has contravened or failed to comply with the provisions of the FAIS Act and as a result thereof the complainant has suffered or is likely to suffer financial prejudice or damage; |

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| | <ul style="list-style-type: none"> • has wilfully or negligently rendered a financial service to the complainant which has caused prejudice or damage to the complainant or which is likely to result in such prejudice or damage; or • has treated the complainant unfairly. <p>The <u>Complaints Handling Policy</u> is available on request.</p> <p>Should the complaint not be addressed within three (3) weeks, the complainant can refer it to the registered compliance officer of the FSP. If within six (6) weeks of receipt of a complaint the FSP has been unable to resolve the complaint, the complainant may:</p> <ul style="list-style-type: none"> • Refer the complaint to the Office of the FAIS Ombud if he/she wishes to pursue the matter (the complainant <u>MUST</u> do so within six months of receipt of such notification). <p><u>The FAIS Ombud can be contacted at:</u></p> <p>Sussex Office Park Ground Floor, Block B 473 Lynnwood Road Cnr. Lynnwood Road & Sussex Ave, Lynnwood, 0081</p> <p>Telephone: +27 12 762 5000; Facsimile: +27 12 348 3447 E-mail Address: info@faisombud.co.za; Website: www.faisombud.co.za</p> |
| Conflict of Interest | <p>The FSP, its Key individuals and Representatives comply with the Conflict of Interest Management Policy as prescribed by the FAIS Act as amended from time to time.</p> <p>A copy of the policy can be obtained from the Key Individual or Compliance Officer.</p> |
| Financial Interest Register: Gift and Entertainment; PA Trading | <p>Deutsche Bank South Africa maintains a Financial Interest Register, which records all gifts and entertainment received by any Representative or Key Individual during a calendar year from any external supplier or client. We also record all personal trading executed by any employee and Representative as defined in our Personal Account Trading Policy.</p> |
| Document Management & Storage | <p>The FSP keeps all legal documents and records of communication in respect of the financial service rendered to clients on record for the legislated periods. Electronic copies as well as hard copies are kept on record in line with the Protection of Personal Information Act No. 4 of 2013 (POPIA) and the Promotion of Access to Information Act No. 2 of 2000 (PAIA). Our Privacy Policy and Manual in terms of Section 51 of the Promotion of Access to Information Act (PAIA) and The Protection of Personal Information Act (PoPIA) are available on the company website. In addition, our Data Protection Policy is available on request.</p> |

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