

# Upfront Disclosure Document

Craton Capital Advisory (Pty) Ltd

*An authorised Financial Services Provider FSP No: 47312*

Prepared by Craton Capital Advisory (Pty) Ltd  
Date: 28 January 2025

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## 1. Companies Legal Status

Craton Capital Advisory (Pty) Ltd (The “FSP” hereafter) is a Private Company registered in the Republic of South Africa under registration number. As a licensed Financial Services Provider in terms of FAIS, Craton Capital Advisory (Pty) Ltd accepts responsibility for the actions of its representatives, acting within their mandates, in the rendering of financial services as defined by FAIS. Our representatives either meet the fit and proper requirements as prescribed by FAIS or operate under appropriate supervision in accordance with FAIS, and are qualified to assist you in a professional manner with your financial requirements.

## 2. Details of Key Individuals and Representatives

### Key Individuals

NAME	AUTHORISED PRODUCTS
Markus Bachmann	As per table 1 below
Douglas Orsmond	

### Representatives

NAME	AUTHORISED PRODUCTS
Markus Bachmann	As per table 1 below
Douglas Orsmond	As per table 1 below

## 3. Legal status of Key Individuals and Representatives

Craton Capital Advisory (Pty) Ltd confirms that its key individual (s) and representative(s) are mandated and entitled to render financial advice and / or intermediary services to you in terms of FAIS. The Key individuals and Representatives are full time employees of the FSP.



## 4. Complaint Handling and Compliance Queries

### Compliance Officer

If you have a complaint or a compliance related query, please do not hesitate to contact our Compliance Officer:

<b>Name:</b>	Mr Leonardo d'Onofrio
<b>Company</b>	Oracle Compliance (Pty) Ltd
<b>Physical Address:</b>	Unit 1, 50 Sixth Road, Hyde Park, 2196
<b>Telephone:</b>	(011) 100 2551
<b>Fax:</b>	086 664 8448
<b>Email:</b>	<a href="mailto:leonardo@oraclecompliance.com">leonardo@oraclecompliance.com</a>

### FAIS Ombud

Should a complaint not be resolved to your satisfaction, you may forward such complaint to the Office of the FAIS Ombud for Financial Services Providers:

<b>Name:</b>	Ms. Noluntu Bam
<b>Physical Address:</b>	Celtis House Eastwood Office Park Lynwood, Pretoria
<b>Postal Address:</b>	PO Box 74571, Lynwood Ridge, 0040
<b>Telephone:</b>	0860-FAISOM 0860-324 766
<b>Email:</b>	<a href="mailto:info@faisombud.co.za">info@faisombud.co.za</a>



Please note that, if you wish to lodge a complaint with the FAIS Ombud against the FSP or our representatives, you will need to show that you have already attempted to resolve the matter directly with the FSP first.

## 5. Other Matters of Importance

- a. In terms of the Financial Intelligence Centre Act, 2001 FSP is obliged to report any suspicious and unusual transactions that may facilitate money laundering.
- b. It is important that you are absolutely sure that the product and transactions meet your needs and that you feel you have all the information you need before making a decision.
- c. The FSP has a suitable Professional Indemnity and Fidelity Insurance Cover in place in accordance with FAIS.
- d. Waiver of rights: You are hereby advised that no representatives of the provider or any other person may ask you, or offer any inducement to you, to waive any right or benefit conferred on you by or in terms of any provision of the FAIS Act.

## 6. Financial Services and Products

As an Authorised Financial Services Provider, the FSP has a Category I and II license issued by the Financial Services Board in terms of FAIS, to provide advisory and intermediary services in respect of the following financial products:

**TABLE 1**

	Financial Product	Advice	Intermediary Service	Supervision
	<b>CATEGORY I</b>			
1.1	Long-term Insurance subcategory A			
1.2	Short-term Insurance Personal Lines			
1.3	Long-term Insurance subcategory B1			
1.4	Long-term Insurance subcategory C			
1.5	Retail Pension Benefits			
1.6	Short-term Insurance Commercial Lines			

	Financial Product	Advice	Intermediary Service	Supervision
1.7	Pension Fund Benefits (excluding retail pension benefits)			
1.8	Securities and Instruments: Shares	X	X	
1.9	Securities and Instruments: Money market instruments	X	X	
1.10	Securities and Instruments: Debentures and securitised debt	X	X	
1.11	Securities and Instruments: Warrants, certificates and other instruments acknowledging, conferring or creating rights to subscribe to, acquire, dispose of, or convert securities and instruments referred to in subcategories 1.8, 1.9 and 1.10 above.	X	X	
1.12	Securities and Instruments: Bonds	X	X	
1.13	Securities and Instruments: Derivative instruments excluding warrants	X	X	
1.14	Participatory Interests in Collective Investment Schemes	X	X	
1.15	Forex Investment Business			
1.16	Health Service Benefits			
1.17	Long-term Deposits			
1.18	Short-term Deposits			
1.19	Friendly Society Benefits			
1.20	Long-term Insurance subcategory B2			
	CATEGORY II - Discretionary FSP			
2.1	Long-term Insurance subcategory B1			
2.2	Long-term Insurance subcategory C			
2.3	Retail Pension Benefits			
2.4	Pension Fund Benefits (excluding retail pension benefits)			
2.5	Securities and Instruments: Shares		X	



	Financial Product	Advice	Intermediary Service	Supervision
2.6	Securities and Instruments: Money market instruments		X	
2.7	Securities and Instruments: Debentures and securitised debt		X	
2.8	Securities and Instruments: Warrants, certificates and other instruments acknowledging, conferring or creating rights to subscribe to, acquire, dispose of, or convert securities and instruments referred to in subcategories 2.5, 2.6 and 2.7 above		X	
2.9	Securities and Instruments: Bonds		X	
2.10	Securities and Instruments: Derivative instruments excluding warrants		X	
2.11	Participatory Interests in Collective Investment Schemes		X	
2.12	Forex Investment Business			
2.13	Long-term Deposits			
2.14	Short-term Deposits			
2.15	CATEGORY IIA – HEDGE FUND FSP			
2.16	Long-term Insurance subcategory B2			

## 7. Conflicts of Interest

In accordance with the FSP's Conflicts of Interest Management Policy, the FSP places a high priority on its clients' interests. As conflicts of interest could undermine the integrity and professionalism of the FSP and its employees, any potential or recognized instance must be identified as early as possible. Potential conflicts of interest are inherent in any business and therefore it is not the aim of the FSP to avoid all conflicts. If conflict situations cannot be avoided, the FSP will manage equitably and in the client's interest as an integral part of the FSP's duties and obligations. The FSP maintains an active Conflicts of Interest Management Policy, which is available on request.

## 8. Client Understanding & Confirmation

I confirm I have read this document and have received a copy of this notice.



**Company (Client) name:**

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**Signature:**

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**Title / Name:**

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**Date:**

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