



## **LEGAL NOTICE – CAUSEWAY SECURITIES**

### **Audience and Use**

This website is operated by Causeway Securities Limited.

This website is intended to provide general information about Causeway Securities' products and services. It may be accessed by:

- Retail clients
- Professional advisers
- Institutional investors

However, the content is not tailored to any specific client type and must not be relied upon as financial advice. Users should consult a qualified financial adviser before making investment decisions.

### **General Investment Risk**

Capital is at risk.

- The value of investments and any income from them can go down as well as up, and you may not get back the full amount invested.
- Past performance is not a reliable indicator of future performance.
- Illustrations, forecasts, or hypothetical data are for illustrative purposes only and do not guarantee future returns.
- Exchange rate fluctuations may positively or negatively affect the value of foreign currency-denominated assets.
- Certain investments may carry a higher degree of risk and may only be suitable for long-term investors.

### **Information Disclaimer**

Marketing communications may be included on this website. Please refer to the relevant legal and regulatory documents before making any investment decision. The information presented on this website is for general informational purposes only. It does not constitute, and should not be interpreted as:

- An offer or solicitation to buy or sell securities,
- A recommendation or investment advice, or
- A commitment to any investment strategy.



### **Structured Investment and Deposit Risks**

Structured investments and structured deposits are complex financial instruments and may not be suitable for all investors. Key risks include:

- **Limited liquidity:** You may not be able to sell your investment easily or at a fair value before maturity.
- **Counterparty risk:** Returns depend on the financial strength of the issuer. If the issuer fails, you may lose some or all of your investment.
- **Market risk:** The return may be linked to the performance of a market index or asset, which can be volatile and unpredictable.
- **Early redemption or capital loss:** Some structured products may expose you to the risk of early maturity or losing your capital depending on market conditions or product terms.
- **Limited FSCS protection:** Structured investments are not typically covered by the FSCS unless advice or intermediation failures are involved. Structured deposits may be protected if held with a UK-regulated deposit taker and subject to FSCS limits.

### **Indicative Values**

Any indicative pricing or valuations shown on this site or portal do not constitute a firm bid, offer, or value. These are provided for general information only and may vary significantly from executable prices. No commitment is made by Causeway Securities Limited or Causeway Securities LLC to enter into a transaction at displayed values.

### **Regulatory Status**

Causeway Securities Ltd is authorised and regulated by the Financial Conduct Authority (FCA) in the United Kingdom under Firm Reference Number 749440, and is an authorised financial services provider regulated by the Financial Sector Conduct Authority (FSCA) in South Africa (FSP No. 52397).

Causeway Securities Ltd is a private limited company incorporated in England and Wales (Company No. 0102661), with its registered office at 60 Cannon Street, London, England, EC4N 6NP.

Causeway Securities LLC is a wholly owned subsidiary of Causeway Securities Ltd. It is a broker/dealer registered with the U.S. Securities and Exchange Commission (SEC) and a member of FINRA and SIPC. You can check the background of Causeway Securities LLC on the FINRA BrokerCheck website.

Causeway Securities LLC acts solely as a distributor/selling agent of structured note products. It is not the issuer, underwriter, or guarantor of any investment products and does not provide investment advice or personal recommendations.





### **Legal References**

Please refer to our Privacy Policy, Cookies Policy and Website Terms of Use for complete terms governing your access and use of this website.

### **Legal Entity Identifier**

Causeway Securities Limited LEI: 21380031FDWN3OJV4R73

### **Notice to U.S. Institutional Investors**

This website may contain content intended for U.S. institutional investors only. By accessing this site, U.S. users confirm that they meet the definition of an 'Institutional Account' under FINRA Rule 4512(c), which includes banks, insurance companies, registered investment companies, registered investment advisers, and persons or entities with total assets of at least \$50 million. U.S. persons should not construe any content herein as investment advice or a recommendation to purchase or sell any financial instrument.

Causeway Securities LLC is a registered broker/dealer with the U.S. Securities and Exchange Commission (SEC) and is a member of FINRA and SIPC. It acts solely as a distributor or selling agent and does not provide investment advice, determine suitability, or act as a fiduciary. Any market commentary or marketing material is provided solely for informational purposes and should not be relied upon as a basis for making investment decisions.

Causeway Securities LLC complies with all applicable U.S. regulations, including those related to anti-money laundering and know-your-customer obligations. Clients may be subject to identity verification and ongoing due diligence under the USA PATRIOT Act.

### **Pricing & Valuations**

- Indicative pricing and valuations provided on this site do not represent a firm bid, offer, or committed value.
- Firm quotations may differ significantly from indicative prices due to market movements or other variables.
- Causeway Securities is not a tax adviser and cannot accept responsibility for tax treatment on securities or funds. Please consult your own tax adviser.

### **Tax Considerations**

- Investment products may have tax implications.
- Investors should seek professional advice from tax, legal, and financial advisers before investing.
- Tax reliefs and rates are subject to change and depend on individual circumstances.
- Causeway Securities does not provide tax advice.





## Causeway Dynamic Growth Fund – Key Disclosures

- The Causeway Dynamic Growth Fund is detailed in the Prospectus, Supplement, and Key Investor Information Document (KIID).
  - These documents are available in English on each Fund page and at [www.geminicapital.ie](http://www.geminicapital.ie).
  - A summary of investor rights is also available at the same website.
  - Investors should not make a final investment decision without fully considering the risks outlined in these documents.

Marketing Termination Notice: The Fund’s marketing may be terminated in any jurisdiction. Investors in affected EEA member states will be informed and given a 30-day redemption window without exit charges.

## Sustainable Investing

### *ESG & Sustainability Risk*

- The Fund does not have a dedicated ESG or sustainability objective, but sustainability risk is assessed as negligible.
- The investment process includes consideration of ESG factors across asset classes:
  - Equities & Corporate Bonds
    - A qualitative screen is applied, including exclusions based on: Armaments, Alcohol, Tobacco, Pornography, Gambling, Fossil fuels.
    - A low sustainability score does not automatically preclude investment.
  - Government Bonds
    - Focus on G7 government debt for use as collateral.
    - Limited sustainability research conducted, but future inclusion of "green" bonds is anticipated.
  - Derivatives
    - Exposure is indirect via exchange-traded and OTC derivatives.
    - Underlying entities and counterparty banks are monitored for sustainability alignment.
    - Liquidity remains the top priority; sustainability is secondary.

## Principal Adverse Impacts (PAI)

- The Investment Manager does not currently consider Principal Adverse Impacts (PAI) under SFDR due to insufficient and inconsistent data availability.
- The Manager may voluntarily report on select PAI indicators where possible.
- It is the intent to adopt full PAI reporting once data becomes available at a usable level.



## **Regulatory Information**

### *Gemini Capital Management (Ireland) Limited (GemCap)*

- A private limited company (No. 579677), regulated by the Central Bank of Ireland.
- Registered Office: 1 WML, Windmill Lane, Dublin 2, D02 F206
- Principal Office: Ground Floor, 118 Rock Road, Booterstown, A94 V0Y, Co. Dublin
- GemCap is the management company and global distributor for GemCap Investment Funds (Ireland) plc.

### *GemCap UK Limited*

- FRN: 924419
- An appointed representative of Connexion Capital LLP (FRN 480006), authorised and regulated by the FCA.
- Responsible for overseeing distribution of GemCap sub-funds.