

BROKER CHANGE FORM

INDIVIDUALS/LEGAL ENTITIES

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") is part of the Apex Group Ltd. FR is a registered Manager of the Fundrock Collective Investments Scheme, approved in terms of the Collective Investments Schemes Control Act, No 45 of 2002.

IMPORTANT INFORMATION

1. This form is to be used by existing investors only.
2. Please read the **Terms and Conditions** that apply to this investment. This is available from the Client Service Centre or at www.fundrock.co.za.
3. Please email required documents for processing to cis-instructions@fundrock.com.
 - Letter from existing client
 - A copy of South African green bar-coded Identity Document/ID Card (South African citizens) or valid passport (if Foreign National)

SECTION 1: INVESTOR DETAILS

FR Investor Number / Client Account Number	
Title	
Surname / Entity Name (e.g. company, trust)	
Name of Investor / Authorised Contact Person	
ID or Passport Number / Registration Number	
Telephone (H)	(W)
Mobile	
Email	

SECTION 2: APPOINTMENT OF A FINANCIAL ADVISOR *(to be completed by the investor)*

FINANCIAL ADVISOR

Full Name and Surname		
Practice Name (FSP)		FSP Licence Number
Financial Advisor Code		
Advisor Email		
Advisor Assistant dealing with this transaction		

I confirm that the financial advisor, as authorised representative of the FSP above, is my appointed financial advisor.

NEGOTIABLE FINANCIAL ADVISOR FEES

Initial*

Maximum 3% (excl VAT), or in the case of money market funds maximum 0.5% (excl VAT), deducted prior to the investment being made. If it is agreed that no initial fee is payable, please insert 0%.

Ongoing advisory fee**

Negotiable to a maximum of 1% (excl VAT), or in the case of money market funds maximum 0.5% (excl VAT) p.a. Advisory fees are withdrawn by way of a unit reduction. This annual advice fee, if any, is in addition to the standard portfolio service charges. If it is agreed that no initial fee is payable, please insert 0%.

Trail commission %

Trail commission is a small percentage of the annual fee charged by brokers or advisers for holding investments. Trail commission or loyalty commission is a fee paid to a distributor by a fund on the investment value which remains with the fund. (If applicable)

Please refer to the table below for maximum permissible combinations of initial and annual advisory fees.

Initial Advice Fee ex VAT*	Maximum Ongoing Advice Fee ex VAT p.a.**
3%	0.50%
between 2% and 3%	0.60%
between 1% and 2%	0.80%
0% - 1%	1.00%

Financial advisor FAIS declaration

Signature of financial advisor		Date	/ /
Name of signatory			

INVESTOR

Discretionary mandate declaration

This section is **only applicable if the FSP above holds a 'Category II' Licence** with the FSCA and is therefore an approved discretionary FSP. Where the FSP has a Category II FAIS Licence and the Investor has mandated the FSP/Representative to act on his/her behalf in terms of a discretionary mandate, a copy of the discretionary mandate must be provided. FR will not act on instructions from the FSP/Representative if not provided.

- I confirm that I have entered into a mandate with the above approved discretionary FSP. ☐ Yes ☐ No
- I agree and understand that, in terms of the mandate, the FSP may give FR investment instructions directly, and I authorise FR to accept all instructions, including electronic transactions, submitted by the FSP on my behalf. ☐ Yes ☐ No
- I confirm that where the applicant is a minor that I am the legal guardian of the minor, and have consented to the approved FSP processing the personal details of the minor in respect of this application. ☐ Yes ☐ No

Signature of investor(s) or legal guardian/Person acting on behalf of investor		Date	/ /
Authorised signatory		Name of signatory	
Authorised signatory		Name of signatory	
Authorised signatory		Name of signatory	

SECTION 3: INVESTOR DECLARATION

- I/We confirm that all information provided in this form is true and correct.
- Where this application form is signed in a representative capacity, I confirm that I have the necessary authority to do so.
- I/We confirm that FR may accept instructions from any authorised third-party who has been authorised by me/us in writing.
- I/We have read and understood the relevant fund factsheets (minimum disclosure documents) of the unit trusts I/we wish to invest in.
- I/We have read, understood and agree to the latest **Terms and Conditions** on the website www.fundrock.co.za.
- Where signed in the capacity as legal guardian, I explicitly consent to the use of the minor's personal details contained herein.
- FR will accept electronic signatures accompanied by a certificate or audit trail.
- I/We hereby indemnify and hold FR, its affiliates, directors, officers, employees, and agents harmless from and against any and all claims, losses, liabilities, damages, costs, and expenses (including reasonable legal fees) arising from or in connection with the use of electronic signatures, including any fraud, misrepresentation, or unauthorised use by any person.
- As per the Terms and Conditions, I/we agree that FR may recover all direct and indirect administrative, tracing, or related costs incurred where my/our investment is treated as an unclaimed asset or where I/we failed to maintain up to date FICA, risk rating or contact information. Such costs may be deducted from the value of the investment.

PRIVACY STATEMENT

Fundrock Collective Investments (RF) (Pty) Ltd ("FR") takes your privacy and the protection of your personal information seriously, and we will only use your personal information in accordance with Applicable Laws and the FR Privacy Policy. It is important to us that you understand how we obtain, process, store, and share your information. We may disclose your information to other entities in the Apex Group and/or its subsidiaries, agents, partners, or sub-contractors for purposes as described in this application or related privacy policies. By submitting any personal information to FR you provide us with your consent to, alternatively acknowledge, the processing and sharing of your personal information and/or that personal information which you have provided that relates to other data subjects, as set out in the Privacy Policy. Please do not submit any personal information to FR if you do not agree/ object to any of the provisions of the Privacy Policy. Should you object to the Privacy Policy, or parts thereof, FR may not be able to provide its products and/or services to you. To access the FR Privacy Policy please click on the [link](#) or on www.fundrock.co.za.

Signature of investor(s) or legal guardian/ Person acting on behalf of investor		Date	/ /
Authorised signatory		Name of signatory	
Authorised signatory		Name of signatory	
Authorised signatory		Name of signatory	

POPIA

By signing this application, I consent, alternatively acknowledge, that I have read and understood the Privacy Policy and I consent, alternatively acknowledge, to the collection, processing, storage, and internal sharing of my personal information by FR and members of the Apex Group, in accordance with the Protection of Personal Information Act, 4 of 2013 (POPIA).

CONTACT DETAILS

Physical Address

Fundrock Collective Investments
Catnia Building
Bella Rosa Village
Bella Rosa Street
Bellville
7530

Custodian / Trustee

The Standard Bank of South Africa Limited
Tel: +27 21 441 4100

Contact us

Tel: +27 21 007 1500/1/2 or +27 21 879 9937/9
Email: sa-clientsupport@fundrock.com | sa-compliance@fundrock.com
Visit our website: www.fundrock.co.za

Should you have any complaints, please send an email to sa-complaints@fundrock.com

ASISA

AN ORDINARY MEMBER OF THE ASSOCIATION FOR SAVINGS & INVESTMENT SA