



## DISCRETIONARY INVESTMENT ADVISOR ONLINE PERMISSION 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](http://www.fundrock.co.za).
3. Please email required documents for processing to [cis-instructions@fundrock.com](mailto:cis-instructions@fundrock.com).

Permission is hereby given to the below investment advisor, to have online transactability access to my FR unit trust investment account.

### SECTION 1: INVESTOR DETAILS

FR Investor Number / Client Account Number

Title

Surname / Entity Name (e.g. company or trust)

Name of Investor / Authorised Contact Person

ID or Passport Number / Registration Number

Telephone (H) (W)

Mobile

Email

### SECTION 2: APPOINTMENT OF A DISCRETIONARY INVESTMENT ADVISOR

#### INVESTMENT ADVISOR

Full Name and Surname

Practice Name (FSP)

FSP Licence Number

Financial Advisor Code

Advisor Email

Advisor Assistant dealing with  
this transaction

#### Financial advisor declaration

1. I confirm that where the applicant is a minor, I have obtained the legal guardian's consent to process the personal details of the minor as contained herein. Yes No
2. I confirm that I am a FSCA approved discretionary investment manager. Yes No

Signature of financial advisor

Date   /   /

Name of signatory

## INVESTOR (to be completed by 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.

- |                                                                                                                                                                                                                                     |     |    |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1. I confirm that I have entered into a mandate with the above approved discretionary FSP.                                                                                                                                          | Yes | No |
| 2. 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 |
| 3. 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                                                                                                  |
|--------------------------------------------------------------------------------|----------------------|-------------------------------------------------------------------------------------------------------|
|                                                                                |                      | <input type="text" value="DD"/> / <input type="text" value="MM"/> / <input type="text" value="YYYY"/> |
| Authorised signatory                                                           | <input type="text"/> | Name of signatory                                                                                     |
| Authorised signatory                                                           | <input type="text"/> | Name of signatory                                                                                     |
| Authorised signatory                                                           | <input type="text"/> | 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.
  - This document gives FR permission to make certain information available to the investment advisor specified in this form and FR reserves the right to revoke this consent if either party breaches any of the terms and conditions or any of the rules.
  - By providing access and making this information available, you acknowledge and agree that FR is not responsible for any loss, whether direct or indirect, resulting from the disclosure of information or the execution of trades by the investment advisor.
  - You agree that once you have given permission FR may give all the information available online to the named investment advisor.
  - You agree that the investment advisor receiving this information and online transactable rights may not hold FR responsible for any claims that result from the wrongful use or disclosure of the information by the investment advisor.
  - The permissions granted will only terminate upon your specific instructions in writing.
- 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](http://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](http://www.fundrock.co.za).

| Signature of investor(s) or legal guardian/ Person acting on behalf of investor |                      | Date                                                                                                  |
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| Authorised signatory                                                            | <input type="text"/> | Name of signatory                                                                                     |
| Authorised signatory                                                            | <input type="text"/> | Name of signatory                                                                                     |
| Authorised signatory                                                            | <input type="text"/> | 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](mailto:sa-clientsupport@fundrock.com) | [sa-compliance@fundrock.com](mailto:sa-compliance@fundrock.com)  
Visit our website: [www.fundrock.co.za](http://www.fundrock.co.za)

*Should you have any complaints, please send an email to [sa-complaints@fundrock.com](mailto:sa-complaints@fundrock.com)*

**ASISA**

AN ORDINARY MEMBER OF THE ASSOCIATION FOR SAVINGS & INVESTMENT SA