STEP BY STEP MANUAL - ADVISER / BROKER

Your guide to easy investing with Fundrock Collective Investments

Fundrock Collective Investments (RF) (Pty) Ltd is part of the Apex Group Ltd
www.fundrock.co.za
www.apexgroup.com

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Fundrock Collective Investments RF (Pty) Ltd offers investors a range of unit trust funds to cater for their diverse investment needs and investment plans.

We have prepared the attached document to assist you when you invest with us. Amongst others it outlines the steps to follow when placing a new investment with us, or if at a later date you need to buy into new portfolios, switch, transfer or repurchase portfolios.

The document also provides useful information on how to access our web-based investment portal which will allow you to transact online, and access statements and certificates.

If at any stage in the process you require assistance, please call us on 021 0071500/1/2 or 021 879 9937/9 email us at sa-clientsupport@fundrock.com

Fundrock Collective Investments RF (Pty) Ltd is committed to building a long-lasting relationship with you and helping support you in managing your investments.

We trust that you will find this guide useful and welcome any suggestions you may have.

Yours sincerely

Gregory Abrahams
Managing Director

FundRock Investor Portal

Client Friendly User Guide

Adviser / Broker View

1. Introduction

This guide provides practical, step-by-step guidance for using the FundRock Investor Portal. It has been written in a client-friendly format, with screenshots included to help users recognise each screen and complete common activities with confidence.

Purpose

- Explain how to access and navigate the Investor Portal.
- Show advisers and brokers how to select investors, view reports and access documents.
- Promote secure portal usage, including password management, two-factor authentication and secure logout.

- **Intended audience**
- Financial advisers and broker house users.
- Client service teams supporting portal queries.

Important: Screens in this guide may vary depending on the user profile, access permissions, investment products and portal configuration available to the user.

2. Quick Reference

User type	Common activities	Where to start
Adviser / Broker	Select investor, change adviser, view portfolio information, run investor reports, review transactions, access documents and commission statements.	Start with Part A: Adviser / Broker View.

PART A: ADVISER / BROKER VIEW

3. Adviser / Broker Login

Adviser and broker users access the portal using allocated login credentials. The login page provides access to the Sign In function and the password reset option.

Procedure

1. Open the Investor Portal link provided by your organisation.
2. Enter the assigned username and password.
3. Select Sign In.
4. Complete any security or authentication step if prompted.

Tip: Use Generate / Reset Password if a password needs to be created or reset.

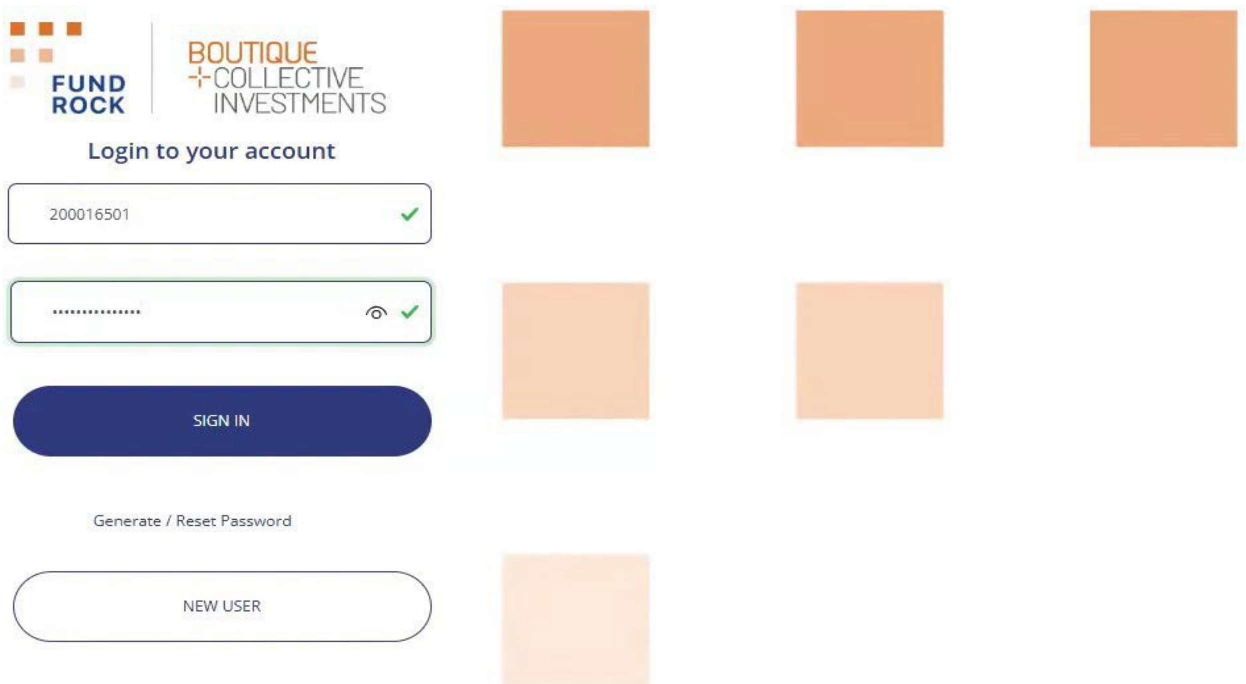

Figure 1: Adviser / Broker Login Screen

4. Selecting an Adviser / Broker House

Where access is available to more than one adviser or broker house, select the appropriate adviser or broker house before continuing.

1. Open the Adviser / Broker House selection screen.
2. Select the relevant adviser or broker house from the list.
3. Confirm that the selected adviser or broker house is displayed before proceeding.

Figure 2: Select Financial Adviser / Broker House

5. Selecting an Investor

The Select Investor screen allows advisor and broker users to choose the investor record they want to view. Users should confirm that the correct investor has been selected before reviewing information or processing any request.

1. Select the Investor option from the navigation menu.
2. Search for or select the required investor from the displayed list.
3. Confirm that the investor name and investor number are correct.
4. Open the investor record.

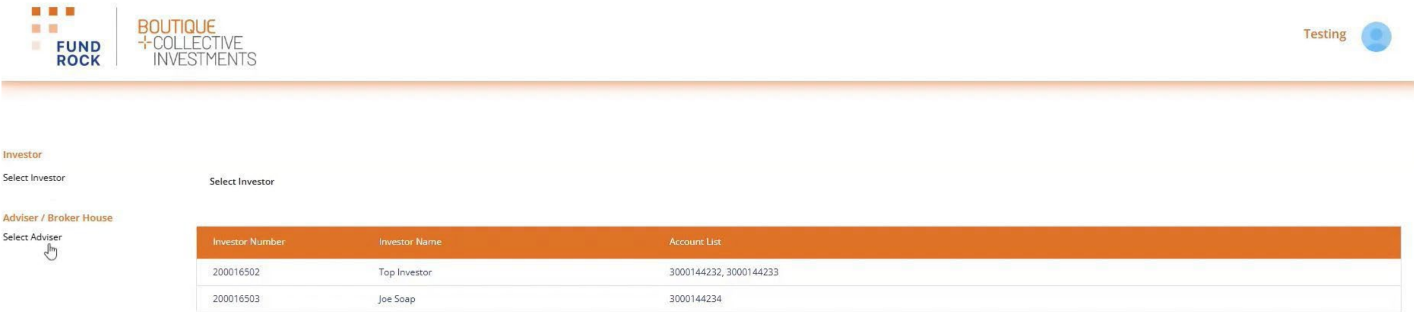

Figure 3: Select Investor Screen

6. Adviser / Broker Dashboard

After selecting the adviser / broker house and investor, the adviser dashboard displays the available adviser functions and investor information based on access permissions.

Available areas

- Select Investor
- Change Adviser
- Investor Reports
- Documents
- Adviser Details
- Personal Information

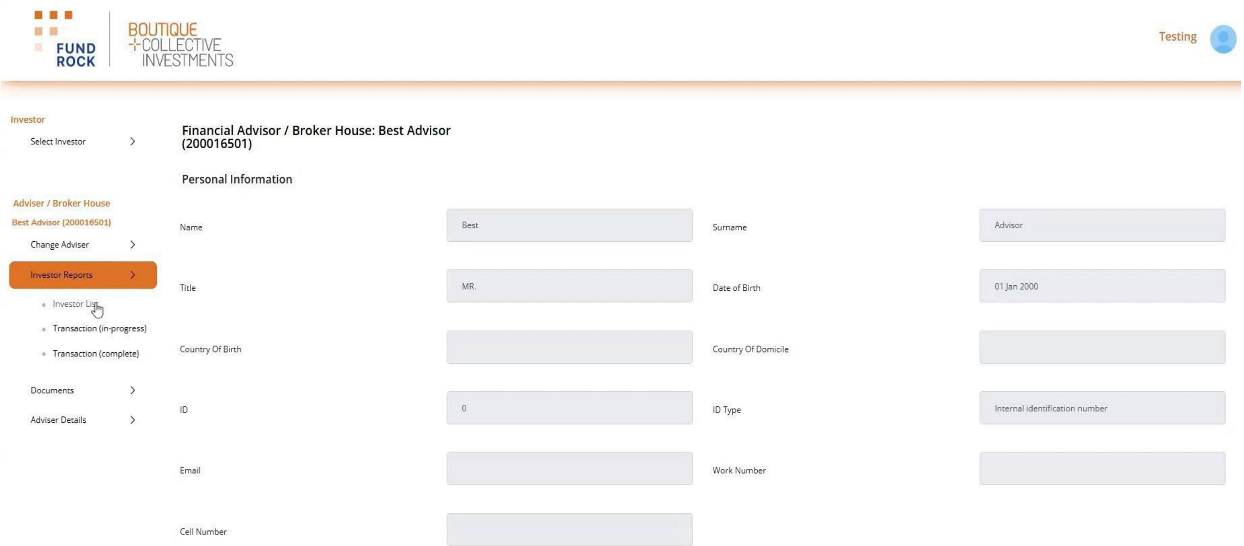

Figure 4: Adviser / Broker Dashboard and Personal Information View

7. Viewing Investor Portfolio Information

Adviser and broker users can view portfolio information for a selected investor. The portfolio view shows fund-level information and allows users to review the selected investment product.

Information displayed

- Investment product selected.
- Funds linked to the investor account.
- Units and market value information.
- Financial adviser / broker information.
- Options to show zero balances or view more information where available.

Best practice: Always confirm the investor name and investor number before discussing or using any portfolio information.

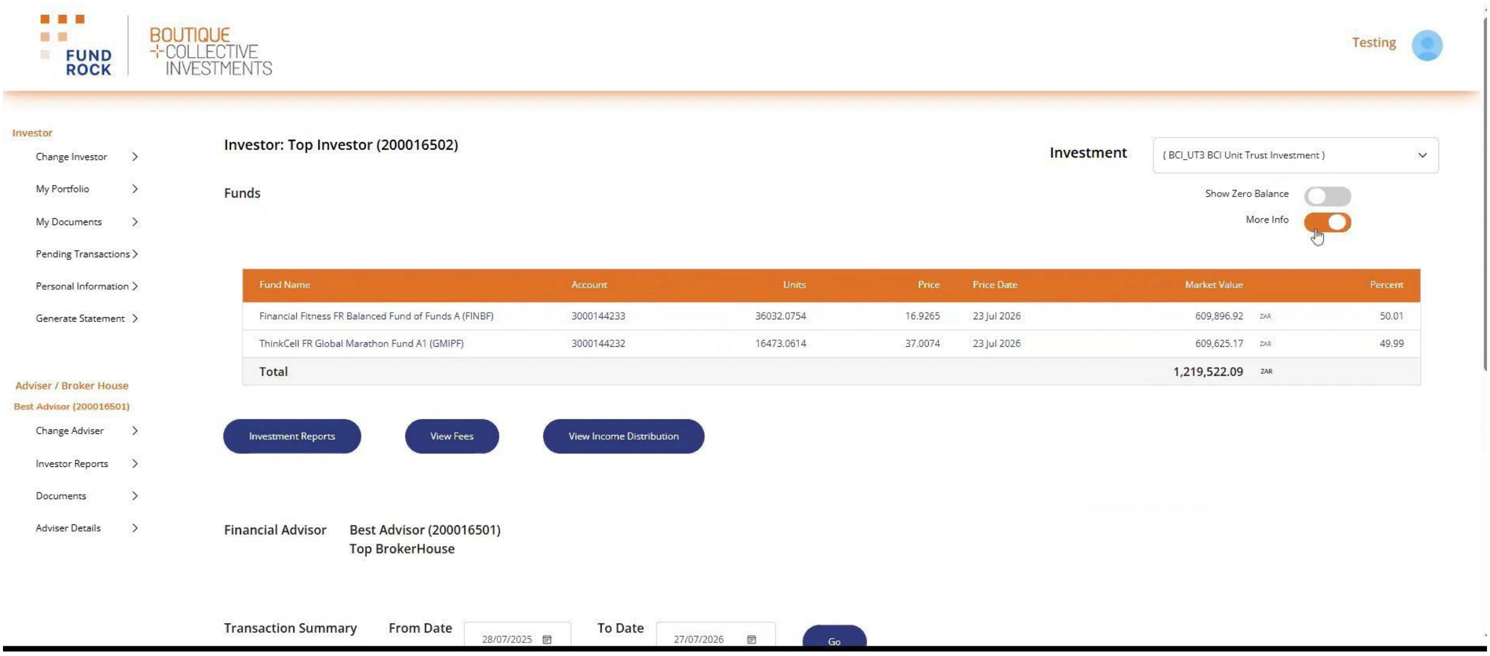

Figure 5: Investor Portfolio View from Adviser / Broker Access

8. Investor Reports and Transaction Searches

The Investor Reports area allows adviser and broker users to review report information and filter transaction records. Filters may include product, investor, start date, end date and transaction status, depending on system configuration.

Procedure

1. Open Investor Reports from the left-hand menu.
2. Select the relevant report or transaction option.
3. Use the available filters to narrow the results.
4. Review the search results displayed on screen.

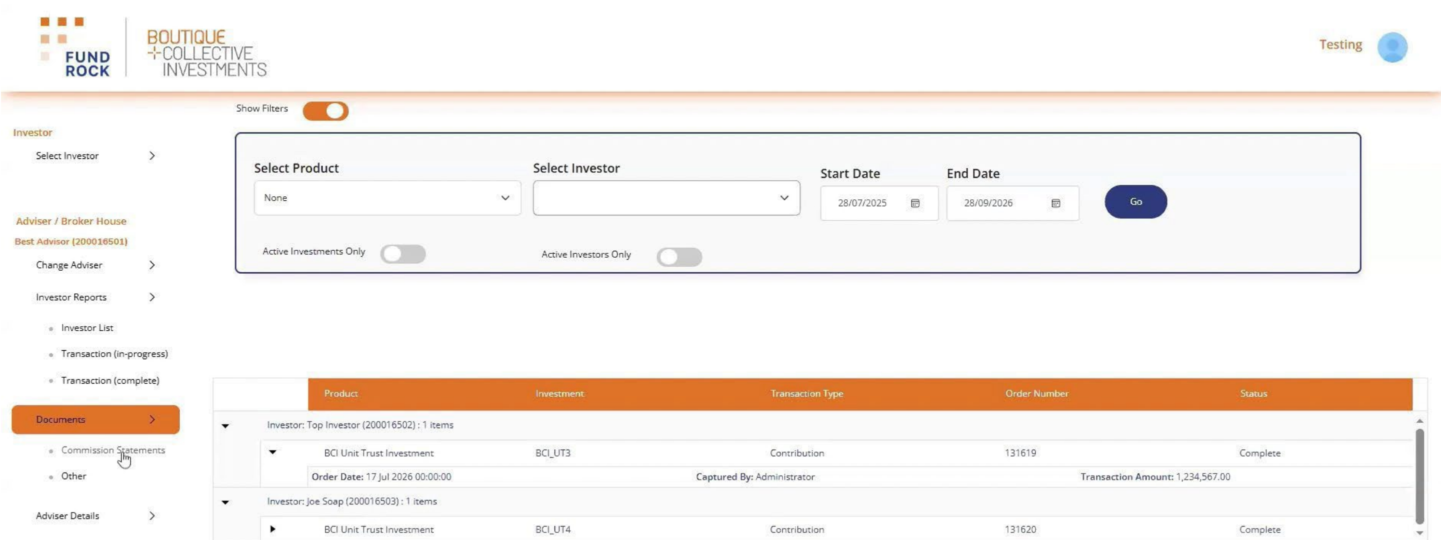

Figure 6: Investor Reports and Transaction Results

9. Commission Statements

Where enabled for the user profile, commission statement information is available from the adviser / broker view.

Date filters can be used to narrow the statement results displayed.

1. Open Commission Statement from the available menu options.
2. Enter or select the required date range.
3. Review the commission statement results displayed.
4. Open or download the relevant statement where this option is available.

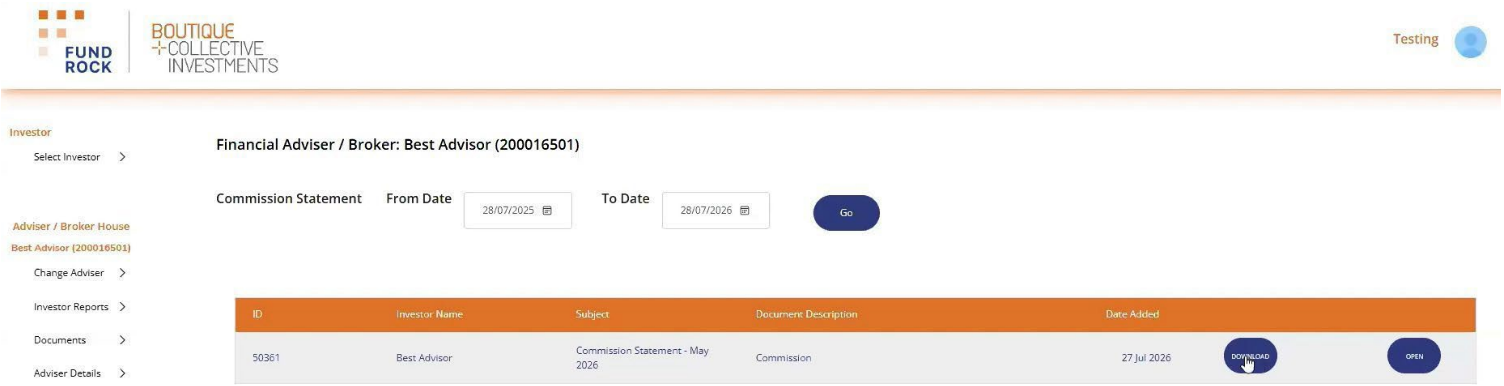

Figure 7: Commission Statement Screen

10. Pending Transactions

The Pending Transactions area allows users to check whether any transactions are currently pending for the selected investor.

This provides a quick way to monitor outstanding items before moving to another task.

1. Select Pending Transactions from the available menu options.
2. Review the results displayed.
3. If no records are shown, continue with the next required activity.

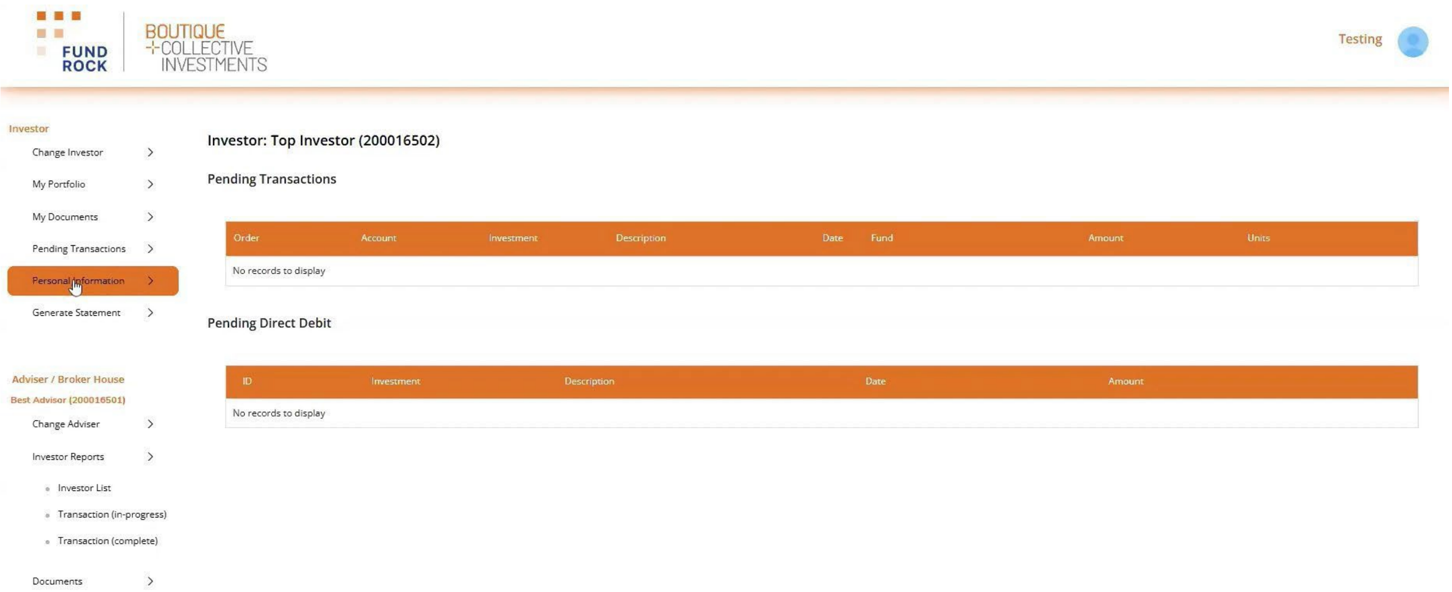

Figure 8: Pending Transactions Screen

11. Glossary

Term	Meaning
Adviser / Broker House	The adviser or broker entity linked to investors on the portal.
Investor	The person or entity with investment information available on the portal.
OTP	One-Time Pin or One-Time Password used as part of authentication.
Two-Factor Authentication	An additional security step used to confirm the identity of a user.
Contribution	An additional investment captured through the portal, where enabled.
Withdrawal	A request to withdraw part or all of an investment, where enabled.
Switch	A request to move value between available funds, where enabled.

Our Client Support Centre's, based in Bellville, are staffed with highly trained individuals who are there to answer your queries and assist you in any way they can.

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