



STEP BY STEP MANUAL - ADVISER / BROKER

Your guide to easy investing with Fundrock Collective Investments

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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](mailto:support@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

A handwritten signature in black ink, appearing to read "Graham", written in a cursive style.

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.

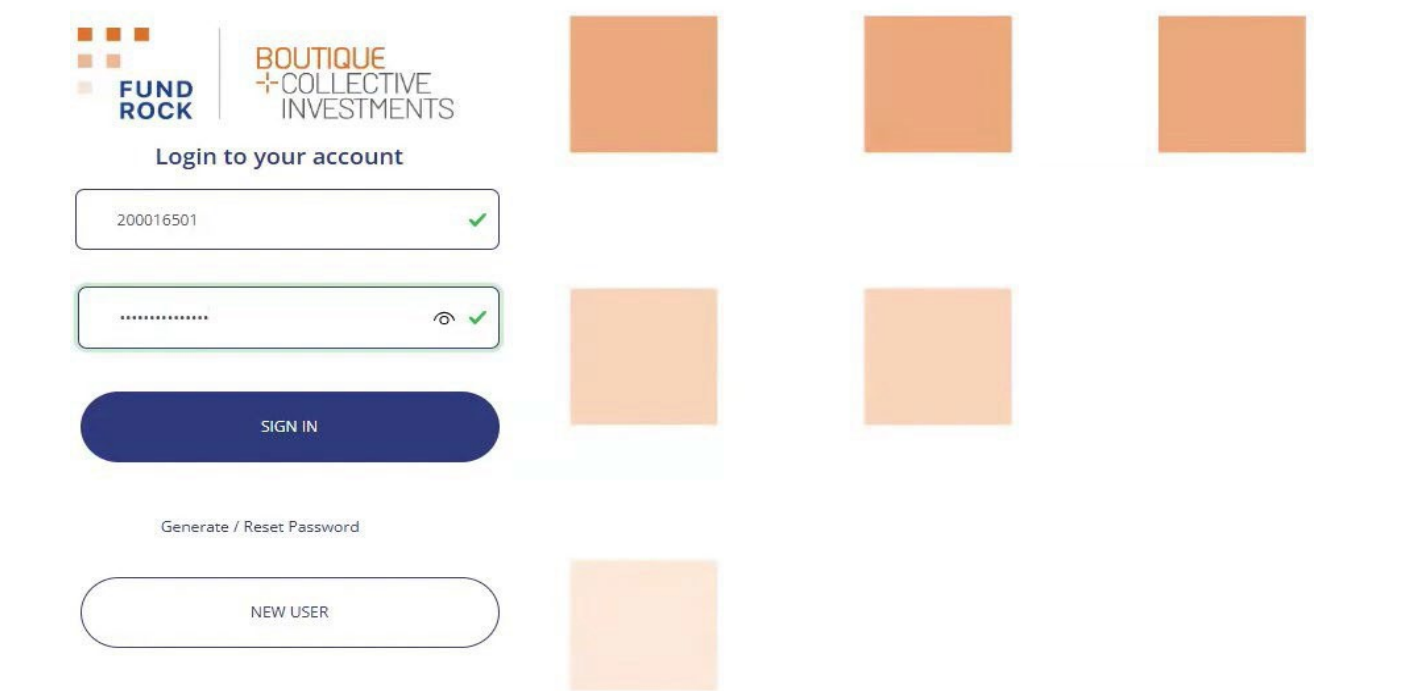


Figure 1: Adviser / Broker Login Screen

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.

Financial Adviser / Broker House Number	Name
200016501	Best Advisor

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.

Investor Number	Investor Name	Account List
200016502	Top Investor	3000144232, 3000144233
200016503	Joe Soap	3000144234

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

Personal Information	
Name	Best
Surname	Advisor
Title	MR.
Date of Birth	01 Jan 2000
Country Of Domicile	
ID	0
ID Type	Internal identification number
Email	
Cell Number	

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.

Investor: Top Investor (200016502)

Investment: (BCI_UT3 BCI Unit Trust Investment)

Show Zero Balance: ☐ More Info:

Fund Name	Account	Units	Price	Price Date	Market Value	Percent
Financial Fitness FR Balanced Fund of Funds A (FINBF)	3000144233	36032.0754	16.9265	23 Jul 2026	609,896.92 ZAR	50.01
ThinkCell FR Global Marathon Fund A1 (GMIPF)	3000144232	16473.0614	37.0074	23 Jul 2026	609,625.17 ZAR	49.99
Total					1,219,522.09 ZAR	

Financial Advisor: Best Advisor (200016501)
Top BrokerHouse

Transaction Summary: From Date: 28/07/2025 To Date: 27/07/2026 Go

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.

Filters: Select Product: None Select Investor: Start Date: 28/07/2025 End Date: 28/09/2026 Go

Active Investments Only: ☐ Active Investors Only: ☐

Product	Investment	Transaction Type	Order Number	Status
Investor: Top Investor (200016502): 1 items				
BCI Unit Trust Investment	BCI_UT3	Contribution	131619	Complete
Order Date: 17 Jul 2026 00:00:00 Captured By: Administrator Transaction Amount: 1,234,567.00				
Investor: Joe Soap (200016503): 1 items				
BCI Unit Trust Investment	BCI_UT4	Contribution	131620	Complete

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.

The screenshot shows the 'Commission Statement' screen. At the top, there are logos for 'FUND ROCK' and 'BOUTIQUE COLLECTIVE INVESTMENTS'. On the right, there is a 'Testing' button. The main header area displays 'Investor: Financial Adviser / Broker: Best Advisor (200016501)'. Below this, there is a 'Commission Statement' section with 'From Date' (28/07/2025) and 'To Date' (28/07/2026) filters, and a 'Go' button. On the left, there is a sidebar menu with options: 'Select Investor', 'Adviser / Broker House', 'Best Advisor (200016501)', 'Change Adviser', 'Investor Reports', 'Documents', and 'Adviser Details'. The main content area shows a table with columns: ID, Investor Name, Subject, Document Description, Date Added, and two action buttons: 'DOWNLOAD' and 'OPEN'. The table contains one row with ID 50361, Investor Name 'Best Advisor', Subject 'Commission Statement - May 2026', Document Description 'Commission', and Date Added '27 Jul 2026'.

ID	Investor Name	Subject	Document Description	Date Added	DOWNLOAD	OPEN
50361	Best Advisor	Commission Statement - May 2026	Commission	27 Jul 2026		

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.

The screenshot shows the 'Pending Transactions' screen. At the top, there are logos for 'FUND ROCK' and 'BOUTIQUE COLLECTIVE INVESTMENTS'. On the right, there is a 'Testing' button. The main header area displays 'Investor: Top Investor (200016502)'. Below this, there is a 'Pending Transactions' section with a table showing columns: Order, Account, Investment, Description, Date, Fund, Amount, and Units. The table contains one row with the text 'No records to display'. On the left, there is a sidebar menu with options: 'Change Investor', 'My Portfolio', 'My Documents', 'Pending Transactions', 'Personal Information', and 'Generate Statement'. The 'Personal Information' option is highlighted. Below the 'Pending Transactions' section, there is a 'Pending Direct Debit' section with a table showing columns: ID, Investment, Description, Date, and Amount. The table contains one row with the text 'No records to display'. At the bottom, there is a section for 'Adviser / Broker House' with options: 'Best Advisor (200016501)', 'Change Adviser', 'Investor Reports', 'Investor List', 'Transaction (in-progress)', 'Transaction (complete)', and 'Documents'.

Order	Account	Investment	Description	Date	Fund	Amount	Units
No records to display							

ID	Investment	Description	Date	Amount
No records to display				

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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