



Fundrock Investor Portal

Client Friendly User Guide

Broker / Adviser View followed by Investor 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.
- Show investors how to view portfolio information and complete common transactions.
- Promote secure portal usage, including password management, two-factor authentication and secure logout.

Intended audience

- Financial advisers and broker house users.
- Investors with direct access to the Investor Portal.
- 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.
Investor	Log in securely, view portfolio information, manage account details, set up two-factor authentication, invest, withdraw, switch funds and log out securely.	Start with Part B: Investor View.

PART A: ADVISER / BROKER VIEW

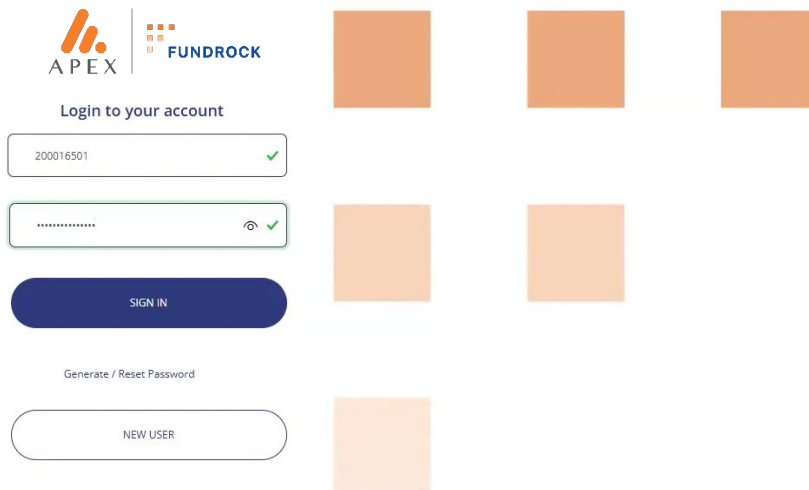
3. Adviser / Broker Login

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.



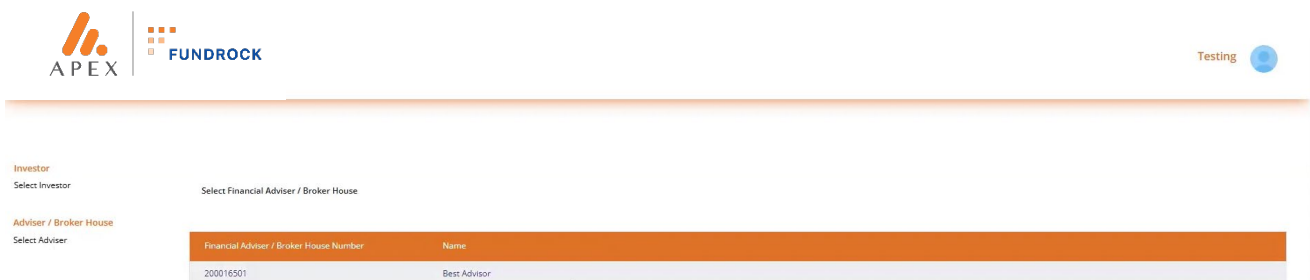
The login screen features the APEX and FUNDROCK logos at the top left. Below them is the text "Login to your account". There are two input fields: the first for a username (containing "200016501" with a green checkmark) and the second for a password (containing "*****" with a green checkmark and an eye icon). Below the password field is a blue "SIGN IN" button. Further down is a link "Generate / Reset Password" and a "NEW USER" button. To the right of the form are several orange squares, likely for social media or other services.

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.



The screen shows the APEX and FUNDROCK logos at the top left. In the top right corner, there is a "Testing" button with a blue circular icon. Below the logos, there are two sections: "Investor" with a "Select Investor" link, and "Adviser / Broker House" with a "Select Adviser" link. The "Select Adviser" link is highlighted. Below this, there is a table with two columns: "Financial Adviser / Broker House Number" and "Name". The table contains one row with the number "200016501" and the name "Best Advisor". A mouse cursor is pointing at the "Best Advisor" name.

Figure 2: Select Financial Adviser / Broker House

5. Selecting an Investor

The Select Investor screen allows adviser 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.

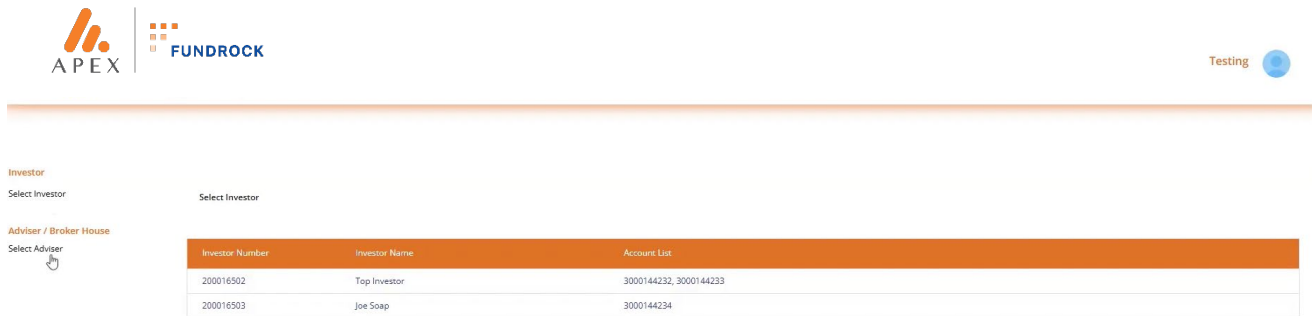


Figure 3: Select Investor Screen

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

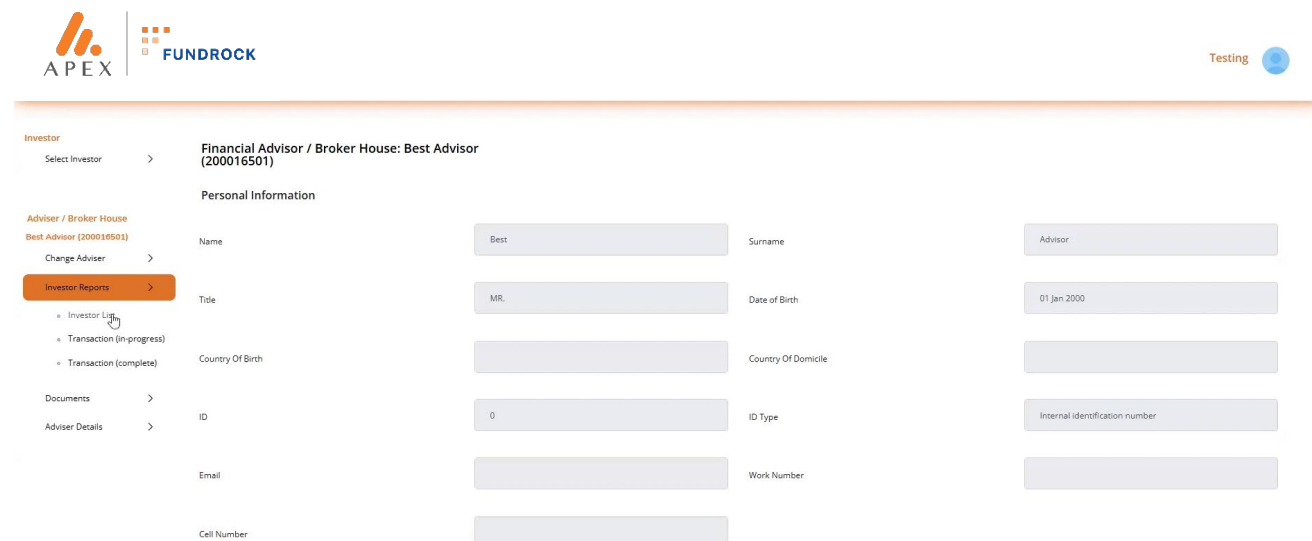


Figure 4: Adviser / Broker Dashboard and Personal Information View



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.

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

Investment Reports View Fees View Income Distribution

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.

The screenshot shows the APEX FUNDROCK interface. The left sidebar has a 'Documents' menu item highlighted. The main content area has a 'Show Filters' toggle. The filter panel includes dropdowns for 'Select Product' (None) and 'Select Investor', date pickers for 'Start Date' (28/07/2025) and 'End Date' (28/09/2026), and a 'Go' button. Below the filter panel, there are two toggle switches for 'Active Investments Only' and 'Active Investors Only'. The results table has columns: Product, Investment, Transaction Type, Order Number, and Status. It shows two investor entries, each with a list of transactions. The first investor, Top Investor (200016502), has one transaction: BCI Unit Trust Investment (BCI_UT3) with Order Date 17 Jul 2026 00:00:00, Transaction Type Contribution, Order Number 131619, and Status Complete. The second investor, Joe Soap (200016503), has one transaction: BCI Unit Trust Investment (BCI_UT4) with Transaction Type Contribution, Order Number 131620, and Status 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.

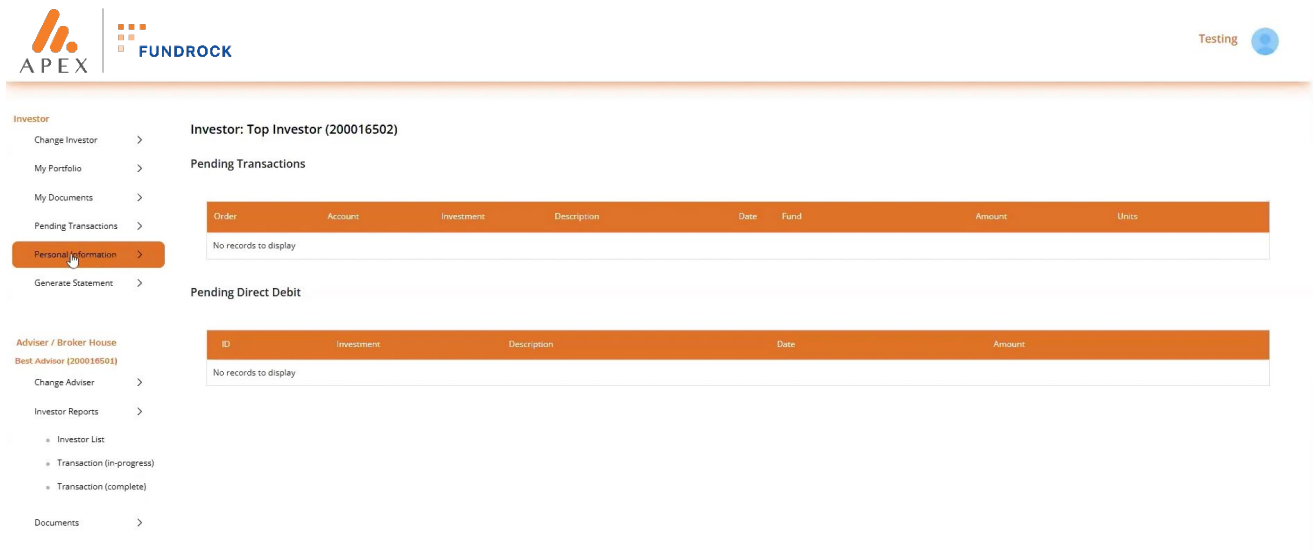
The screenshot shows the APEX FUNDROCK interface. The left sidebar has a 'Documents' menu item highlighted. The main content area shows the 'Financial Adviser / Broker: Best Advisor (200016501)'. Below this, there is a 'Commission Statement' section with 'From Date' (28/07/2025) and 'To Date' (28/07/2026) date pickers and a 'Go' button. The results table has columns: ID, Investor Name, Subject, Document Description, and Date Added. It shows one result: ID 50361, Investor Name Best Advisor, Subject Commission Statement - May 2026, Document Description Commission, and Date Added 27 Jul 2026. There are 'download' and 'print' buttons for this result.

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 APEX FUNDROCK interface. The top navigation bar includes the APEX logo, the FUNDROCK logo, and a 'Testing' button. The left sidebar contains a menu with the following items: Investor, Change Investor, My Portfolio, My Documents, Pending Transactions, Personal Information, Generate Statement, Adviser / Broker House, Best Adviser (2000185601), Change Adviser, Investor Reports, Investor List, Transaction (in-progress), Transaction (complete), and Documents. The main content area displays the 'Investor: Top Investor (200016502)' and the 'Pending Transactions' section. Below this, there is a table with columns: Order, Account, Investment, Description, Date, Fund, Amount, and Units. The table shows 'No records to display'. Below the table, there is a section for 'Pending Direct Debit' with a table with columns: ID, Investment, Description, Date, and Amount. This table also shows 'No records to display'.

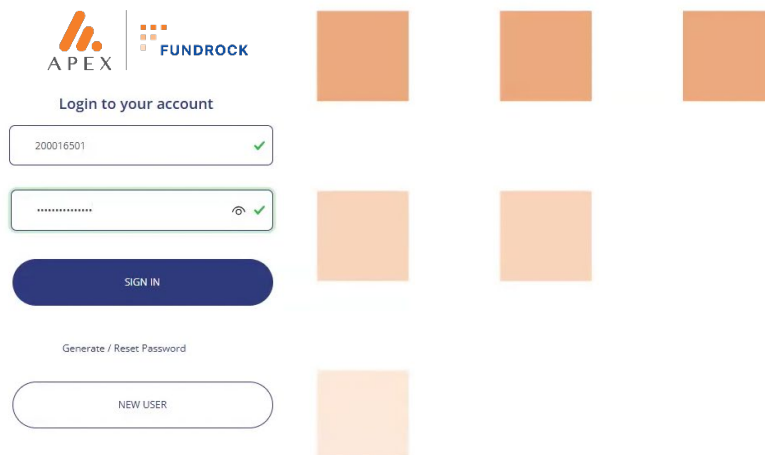
Figure 8: Pending Transactions Screen

PART B: INVESTOR VIEW

11. Investor Login

Investor users log in to the portal using their allocated credentials. The login page is the secure entry point to the Investor Portal.

1. Open the Investor Portal link.
2. Enter the username.
3. Enter the password.
4. Select Sign In.
5. Complete the authentication process if prompted.



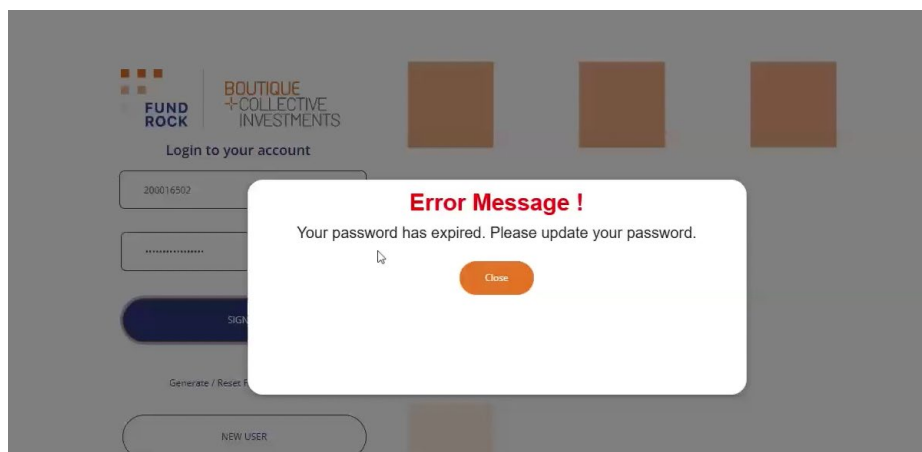
The login screen features the APEX and FUNDROCK logos at the top. Below them is the text "Login to your account". There are two input fields: the first for a username (containing "200016501" with a green checkmark) and the second for a password (masked with dots and a green checkmark). A blue "SIGN IN" button is positioned below the password field. Below the button is a link that says "Generate / Reset Password". At the bottom is a "NEW USER" button. To the right of the login form are three orange squares arranged in a row, and below them are two more orange squares arranged in a row.

Figure 9: Investor Login Screen

12. Password Expiry and Password Reset

If a password has expired, the portal displays a message asking the user to update the password. The user should follow the on-screen prompts or use the password reset option from the login page.

1. Read the error message displayed.
2. Close the message.
3. Return to the login or password reset process.
4. Generate or reset the password as required.
5. Log in again using the updated credentials.



The login screen is shown with a modal error message overlay. The message has a red header "Error Message !" and the text "Your password has expired. Please update your password." Below the text is a "Close" button. The background login form is dimmed, showing the same fields and buttons as in Figure 9.

Figure 10: Password Expired Message



13. One-Time Pin Confirmation

The portal may require a One-Time Pin as part of the login or authentication process. This provides an additional layer of security.

1. Enter the One-Time Pin received or generated through the relevant authentication method.
2. Confirm the pin on screen.
3. Return to the login page if required.

Security reminder: Never share a One-Time Pin or authentication code with another person.

One-Time Pin Confirmation!

One-Time Pin

OTP Code

Submit

[Back to Login Page](#)

Figure 11: One-Time Pin Confirmation Screen

14. Investor Dashboard and Portfolio Overview

After successful login, the investor portfolio page displays investment information linked to the investor profile. The dashboard is the starting point for reviewing holdings and accessing common functions.

Common information displayed

- Selected investment product.
- Funds linked to the investor account.
- Units held and market value information.
- Financial adviser information.
- Actions such as Invest, Withdraw and Switch Funds where enabled.

The screenshot shows the Investor Portfolio Dashboard. At the top, there's a header with the APEX and FUNDROCK logos, and a user profile icon labeled 'Investor'. Below the header, a sidebar on the left lists navigation options: My Portfolio, My Documents, Pending Transactions, Personal Information, and Generate Statement. The main content area displays 'Investor: Top Investor (200016502)' and 'Funds'. A dropdown menu for 'Investment' is set to '(BCI_UT3 BCI Unit Trust Investment)'. Below this, there are two toggle switches: 'Show Zero Balance' and 'More Info'. A table lists the funds held:

Fund Name	Account	Units	Market Value	Percent
Financial Fitness FR Balanced Fund of Funds A (FINBF)	3000144233	36032.0754	609,896.92	50.01
ThinkCell FR Global Marathon Fund A1 (GMIPF)	3000144232	16473.0614	609,625.17	49.99
Total			1,219,522.09	248

Below the table, there are buttons for 'Investment Reports', 'View Fees', 'View Income Distribution', 'Invest', 'Withdraw', 'Switch Funds', and 'Add New Debit Order'. At the bottom, it shows 'Financial Advisor: Best Advisor (200016501) Top BrokerHouse'.

Figure 12: Investor Portfolio Dashboard



15. User Profile Menu

The user profile menu provides access to account-related functions, including Change Password and Logout. Users should use the Logout option when leaving the portal.

- Change Password
- Logout

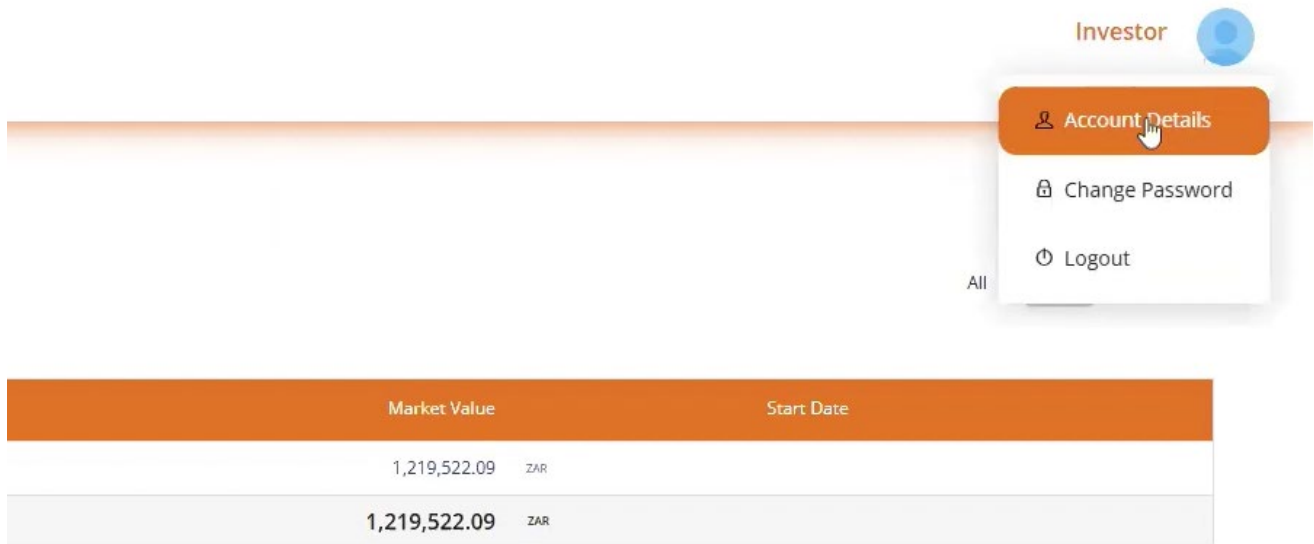


Figure 13: User Profile Menu

16. Account Details and Two-Factor Authentication

The Account Details area allows users to view account information and manage security preferences such as Two-Factor Authentication, where enabled.

Information displayed

- Username
- Contact number
- Contact email
- Two-Factor Authentication selection

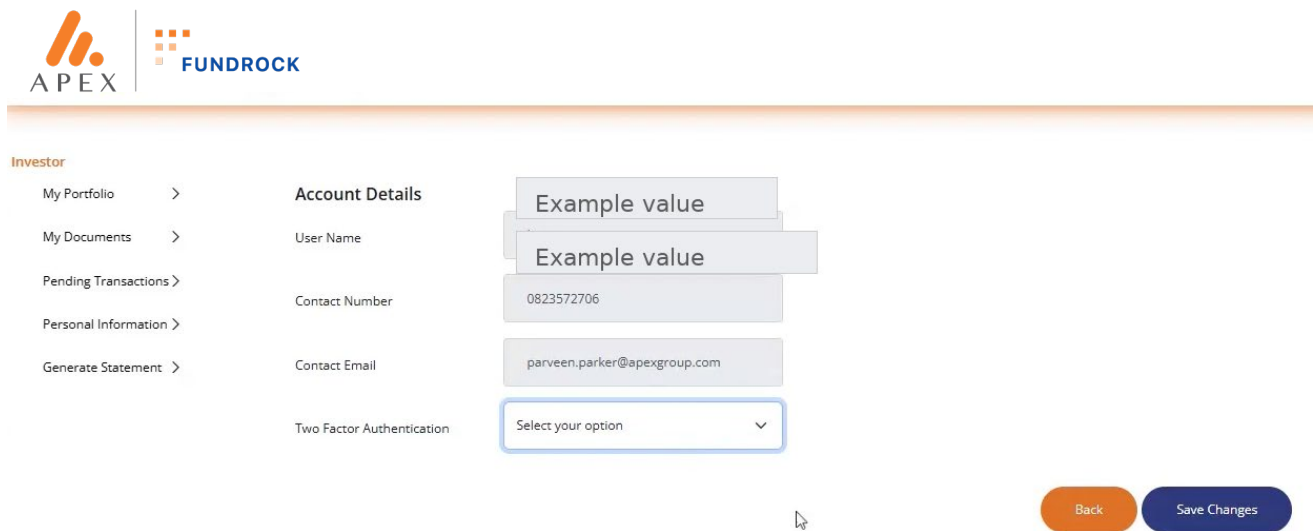


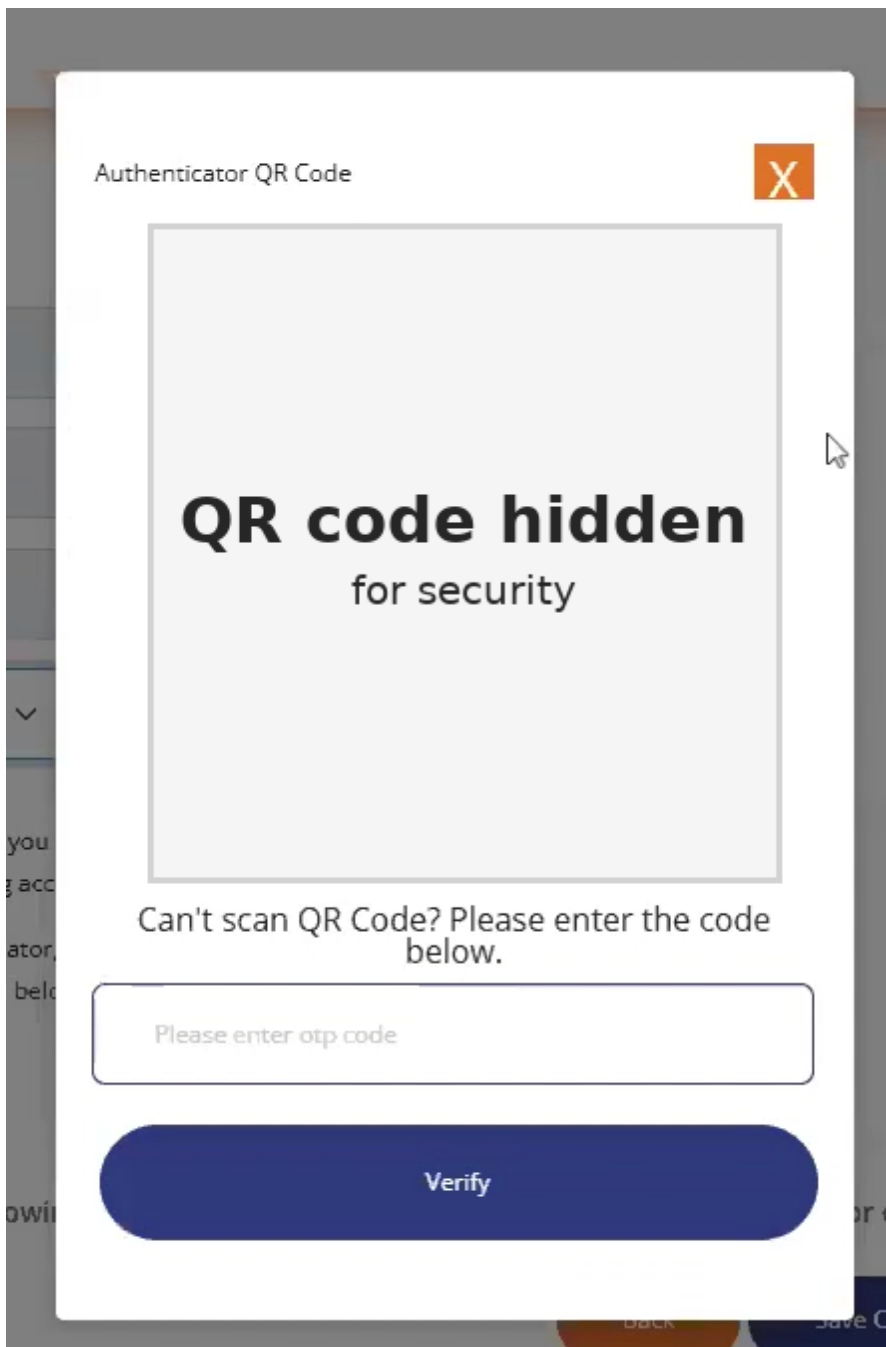
Figure 14: Account Details Screen

17. Authenticator Setup

When setting up an authenticator application, the portal displays a QR code and setup instructions. The user can scan the QR code or enter the setup code manually if the QR code cannot be scanned.

1. Open the Two-Factor Authentication setup area.
2. Scan the QR code using the selected authenticator application.
3. If the QR code cannot be scanned, enter the code manually.
4. Complete the verification process on screen.

Security note: The QR code shown in this guide has been hidden for security. A live QR code should not be distributed in training material.



Authenticator QR Code

QR code hidden
for security

Can't scan QR Code? Please enter the code below.

Please enter otp code

Verify

Figure 15: Authenticator QR Code Setup

18. OTP Code Verification

Once an authenticator is configured, the portal may request an OTP Code Verification before the user can continue.

1. Open the authenticator application.
2. Enter the current OTP code displayed in the application.
3. Select Verify or continue using the available on-screen option.

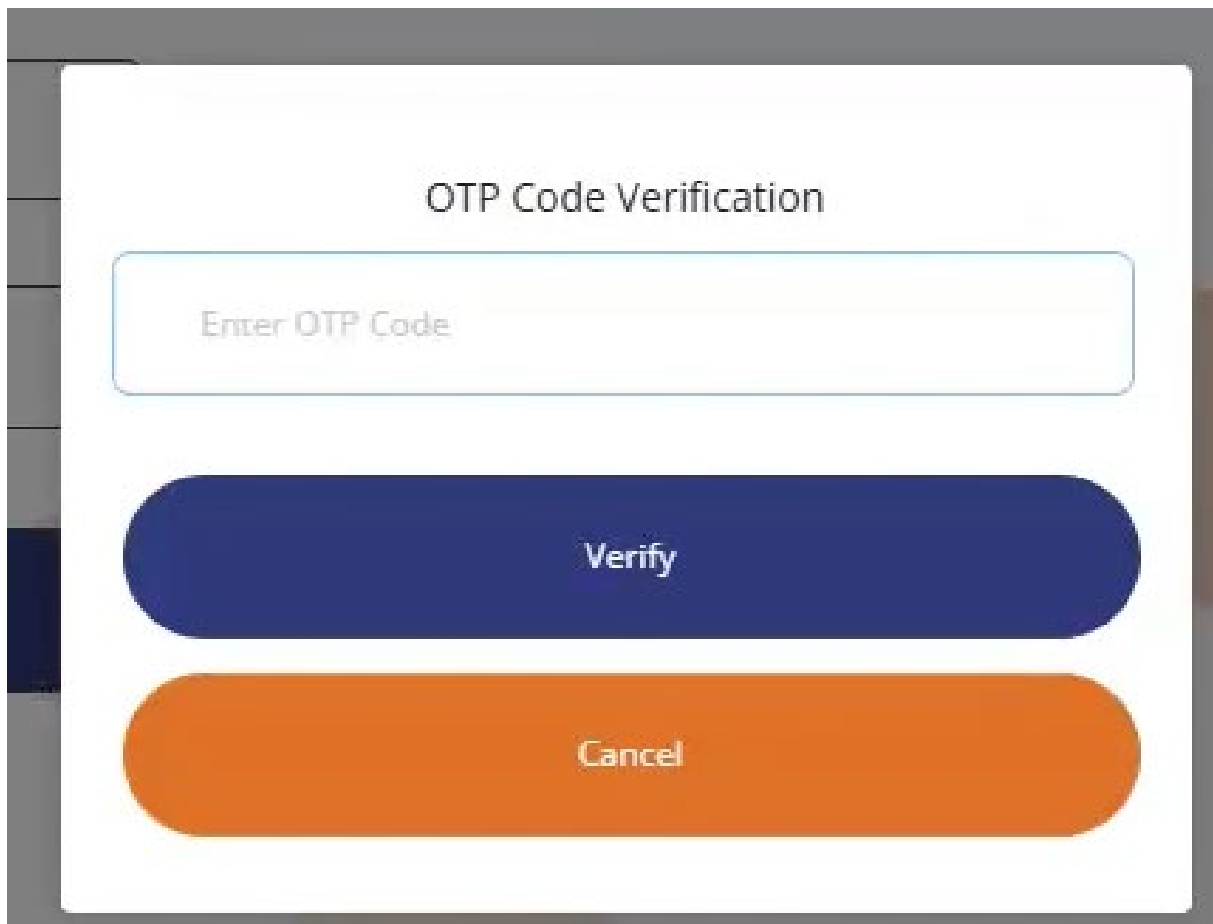
A screenshot of a mobile application screen titled "OTP Code Verification". The screen has a white background with a light gray border. At the top, the title "OTP Code Verification" is centered in a dark gray font. Below the title is a white rectangular input field with a thin blue border and the placeholder text "Enter OTP Code" in a light gray font. Underneath the input field are two large, rounded rectangular buttons. The top button is dark blue with the word "Verify" in white text. The bottom button is orange with the word "Cancel" in white text.

Figure 16: OTP Code Verification Screen



19. Making an Additional Investment

The Contribution screen allows investors to capture an additional investment request. For EFT-based contributions, proof of payment is mandatory as indicated on screen.

Procedure

1. Select Invest or Contribution from the investor portfolio.
2. Select the payment method.
3. Capture the source of funds information.
4. Enter the deposit date and deposit reference.
5. Allocate the contribution amount across the available fund options.
6. Upload proof of payment where required.
7. Review the information before submitting.

Important: Always verify the investment amount, fund allocation and payment reference before submitting a contribution request.

Investor: Top Investor (200016502)

Investment: (BCI_UT3 BCI Unit Trust Investment)

Contribution

Payment Method: EFT ✓

Total Invest: ⓘ

Source Of Funds: ✓

Deposit Date: 28/07/2026 ⓘ

Deposit Reference:

Fund Allocation: Amount/Percent ☒

Fund Name	Account	Units	Market Value	Percent (Editable)
Financial Fitness FR Balanced Fund of Funds A (FINBF)	3000144233	36032.0754	609,896.92 ZAR	0.00
ThinkCell FR Global Marathon Fund A1 (GMIPF)	3000144232	16473.0614	609,625.17 ZAR	0.00
Total			1,219,522.09 ZAR	

Note: Proof of Payment is mandatory for EFT based contribution

[Attach Proof of Payment](#) [Add New Fund](#)

Figure 17: Contribution Screen



20. Requesting a Withdrawal

The Withdrawal screen allows users to request a full or partial withdrawal, where this function is enabled. Banking information and investment terms and conditions must be reviewed before continuing.

1. Select Withdraw from the investor portfolio.
2. Choose Partial Withdraw or Full Withdraw.
3. Review the account and bank information displayed.
4. Select the withdrawal per fund information where applicable.
5. Read and accept the investment terms and conditions.
6. Continue to review and submit the withdrawal request.

Note: Withdrawal requests are subject to validation and processing requirements.

The screenshot shows the 'Withdrawal' screen of the APEX FUNDROCK platform. On the left is an 'Investor' sidebar with links: My Portfolio, My Documents, Pending Transactions, Personal Information, and Generate Statement. The main content area is titled 'Withdrawal' and features two radio buttons: 'Partial Withdraw' (unselected) and 'Full Withdraw' (selected). Below these are input fields for 'Account Number', 'Bank Name', and 'Account Name'. A 'Change Bank Account' button is positioned to the right of the 'Account Name' field. At the bottom, there is a checkbox labeled 'I have read and accept the terms and conditions' and two buttons: 'Cancel' and 'Continue'.

Figure 18: Withdrawal Request Screen

21. Switching Between Funds

The Create Switch screen allows users to switch value between available funds, where fund switching is enabled for the selected investment.

1. Select Switch Funds from the investor portfolio.
2. Select the switch type, such as amount or percentage where available.
3. Select the From Account or source fund.
4. Enter the switch amount or percentage.
5. Select the To Account or destination fund.
6. Add the switch change and review the switch summary.
7. Submit the switch request once all details are correct.

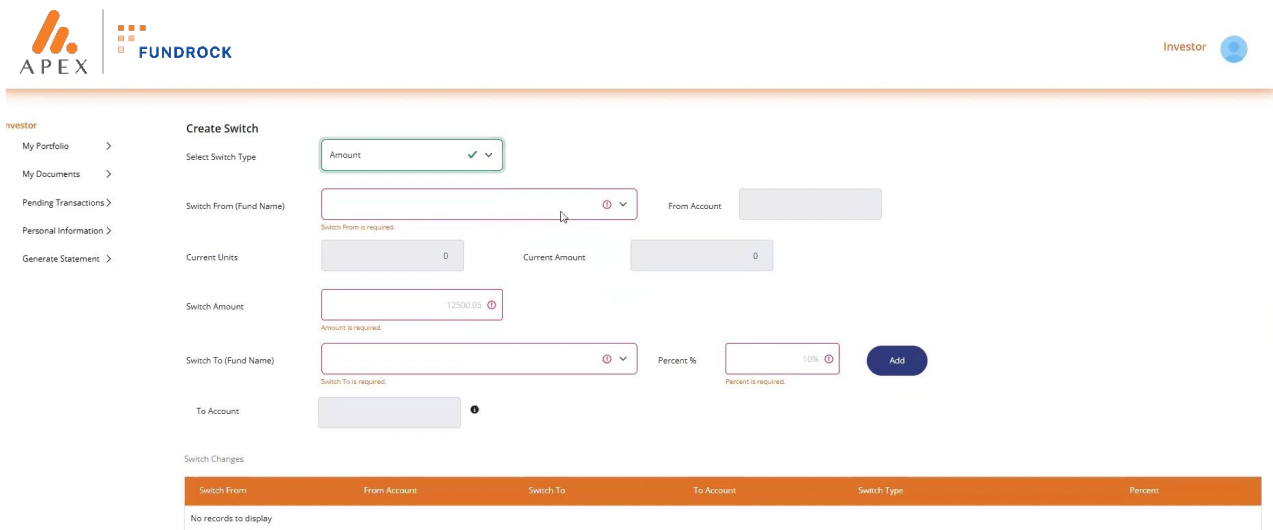


Figure 19: Create Switch Screen

22. Secure Logout

Users should log out securely when they have finished using the portal or before leaving a workstation unattended.

1. Select the profile menu.
2. Select Logout.
3. Close the browser if required by your organisation security policy.

Best practice: Never leave an active Investor Portal session open and unattended.

23. Everyday Best Practice

- Confirm that the correct investor record is selected before reviewing information or performing any action.
- Review all information carefully before saving, submitting or continuing.
- Use specific search criteria where filters are available.
- Do not share usernames, passwords, OTP codes or authenticator details.
- Always log out at the end of each session.



24. 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.