

**REPRESENTATIVE'S SECTION 13 LETTER OF AUTHORITY**

I, the undersigned, duly authorised to issue this certificate on behalf of

**BCS Markets SA (Pty) Ltd, ("FSP") licence #51404  
Trading as BROKSTOCK**

hereby certify that

**REPRESENTATIVE NAME: LLOYD PIET LEGOABE**  
(id: 8904255744083)

is mandated by the Financial Services Provider ("FSP") as a representative  
of the FSP in terms of a written agreement.

REPRESENTATIVE'S DATE OF **APPOINTMENT** BY FSP: **1 APRIL 2023**  
DATE OF **ISSUE** OF THIS CERTIFICATE: **18 SEPTEMBER 2023**  
DATE OF **EXPIRY** OF THIS CERTIFICATE: **18 FEBRUARY 2024**

I hereby confirm the following in respect of the representative:

- ✓ that the FSP has entered into a representative agreement with the representative;
- ✓ that the FSP accepts responsibility for those activities of the representative performed within the scope of the said agreement;
- ✓ that the representative meets the fit and proper requirements insofar as the personal character qualities of honesty and integrity, competence regarding applicable experience, product specific training, class of business training, qualifications and knowledge tested through regulatory exams as well as continuous professional development;
- ✓ that the representative possesses the necessary operational ability to carry out his duties as can be reasonably expected of a representative;
- ✓ that the representative has been mandated to render only intermediary services under supervision to clients in respect of the following product categories.

### CATEGORY I

FINANCIAL PRODUCT	Advice		Intermediary Services		Services under supervision
	Automated	Non-automated	Scripted execution of sales	All other intermediary services	
1.3 Long-term Insurance Subcategory B1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4 Long-term Insurance Subcategory C	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5 Retail Pension Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.7 Pension Fund Benefits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.8 Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	X
1.9 Money Market Instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.10 Debentures and Securitised Debt	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.11 Warrants, certificates and other instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.12 Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.13 Derivative instruments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	X
1.14 Participatory Interests in a Collective Investment Scheme	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.15 Forex Investment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.17 Long-term Deposits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	X
1.18 Short-term Deposits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	X
1.20 Long-term Insurance Subcategory B2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.21 Long-term Insurance Subcategory B2-A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.22 Long-term Insurance Subcategory B1-A	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.24 Structured Deposits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	X	X
1.26 Participatory Interest in a Hedge Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.27 Crypto Assets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## CATEGORY II

FINANCIAL PRODUCT	Intermediary Services	Services under supervision
2.1 Long-term Insurance Subcategory B1	<input type="checkbox"/>	<input type="checkbox"/>
2.2 Long-term Insurance Subcategory C	<input type="checkbox"/>	<input type="checkbox"/>
2.3 Retail Pension Benefits	<input type="checkbox"/>	<input type="checkbox"/>
2.4 Pension Fund Benefits	<input type="checkbox"/>	<input type="checkbox"/>
2.5 Shares	<input type="checkbox"/>	<input type="checkbox"/>
2.6 Money Market Instruments	<input type="checkbox"/>	<input type="checkbox"/>
2.7 Debentures and Securitised Debt	<input type="checkbox"/>	<input type="checkbox"/>
2.8 Warrants, Certificates and other Instruments	<input type="checkbox"/>	<input type="checkbox"/>
2.9 Bonds	<input type="checkbox"/>	<input type="checkbox"/>
2.10 Derivative instruments	<input type="checkbox"/>	<input type="checkbox"/>
2.11 Participatory Interest in one or more Collective Investment Schemes	<input type="checkbox"/>	<input type="checkbox"/>
2.12 Forex Investment	<input type="checkbox"/>	<input type="checkbox"/>
2.13 Long-term Deposits	<input type="checkbox"/>	<input type="checkbox"/>
2.14 Short-term Deposits	<input type="checkbox"/>	<input type="checkbox"/>
2.18 Structured Deposits	<input type="checkbox"/>	<input type="checkbox"/>
2.20 Participatory interest in a Hedge Fund	<input type="checkbox"/>	<input type="checkbox"/>
2.21 Crypto Assets	<input type="checkbox"/>	<input type="checkbox"/>

**CATEGORY IIA**

FINANCIAL PRODUCT	Discretionary	Services under supervision
2A Hedge Fund FSP	<input type="checkbox"/>	<input type="checkbox"/>

I hereby confirm that the representative is solely tasked with providing intermediary services for the specified categories.

Contact information for the key individual responsible for these categories is outlined in this disclosure document.

Before delivering any intermediary services, as mandated by Section 13, the representative must furnish you with a copy of both this letter of authority and the disclosure document. This information can be made available to you either in digital format or as a printed hard copy, and it is also accessible on the Financial Service Provider's (FSP) website. Furthermore, the representative must be prepared to demonstrate compliance with this requirement.

Please note that the categories mentioned in this letter of authority are applicable exclusively to this Financial Service Provider (FSP).

Name of authorising Key Individual	Petrus Johannes Serfontein		
Tel. No:	012 001 9206	Cellular No:	082 338 8330
E-mail address:	<a href="mailto:pserfontein@bcsmarkets.com">pserfontein@bcsmarkets.com</a>		
Signature of KI			

## DISCLOSURE OF STATUTORY INFORMATION BY THE AUTHORISED FINANCIAL SERVICES PROVIDER (“FSP”) AND REPRESENTATIVE

The purpose of this disclosure is to introduce the Representative who will be rendering intermediary services, without offering advice and to furnish you with prescribed information about the Representative and the FSP represented.

Business details		License number:		FSP# 51404		Legal Status		
FSP Name and Trading Name:		<b>BCS Markets SA (Pty) Ltd T/A BROKSTOCK</b>				Reg. No. 2020/523823/07		
Business Address:	Suite E 017, Midlands Office Park East				Sole Proprietor		<input type="checkbox"/>	
	Mount Quarry Street				Partnership		<input type="checkbox"/>	
	Midlands Estate, Gauteng, Republic of South Africa, 1692				Close Corporation		<input type="checkbox"/>	
Postal Address:	Suite E 017, Midlands Office Park East				Company		<input checked="" type="checkbox"/>	
	Mount Quarry Street				Trust		<input type="checkbox"/>	
	Midlands Estate, Gauteng, Republic of South Africa, 1692							
Tel. No:	<b>012 001 9206</b>			Fax No:	N/A			
Website address:	<a href="https://brokstock.co.za/">https://brokstock.co.za/</a>							
Name and Contact Details of the Representative		Name:		<b>LLOYD PIET LEGOABE</b>				
		Tel. No:		<b>012 001 9206</b>	Cell. No:		<b>065 891 6445</b>	
		Fax. No:		N/A	E-mail:		llegoabe@bcsmarkets.co.za	
Qualifications & experience:		The representative is trained and accredited to render intermediary services in respect of products provided by the following suppliers: AS PER MANDATE.						
Declaration in respect of statutory information		I do not have a personal interest in the FSP.						
		I do not hold directly or indirectly more than 10 % interest in any product supplier.						
		My role entails providing intermediary services while under supervision, without offering advice.						
		The FSP hold professional indemnity cover on my behalf. YES						
		The following insurers receive more than 30 % of my business: NONE						
		The FSP is not exempted by the registrar from producing audited annual financial statements.						
		There are no special conditions levied against the FSP by the registrar.						
Name and Contact Details of the external Compliance Officer		Name:		<b>Johan Van Zyl (Outsourced Compliance Services)</b>				
		Tel. No:		<b>011 568 0925</b>	Cell. No:		N/A	
		Fax. No:		N/A	E-mail:		<b>info@outsourcedcompliance.co.za</b>	
		Office Address		Unit 104, Paardevlei Rising 3, 8 Gardner Williams Avenue, Paardevlei, Somerset West, 7130				
		Address		<b>Johannesburg:</b> Unit A30, Innovation Worx, Corner of 16th Road and Scale End Road, Halfway House, Midrand, Johannesburg, 1685 <b>Cape Town:</b> Unit 104, Paardevlei Rising 3, 8 Gardner Williams Avenue, Paardevlei, Somerset West, 7130				

**Disclosure of Actual or Potential Conflicts of Interest:**

Should any conflict of interest arise, either in general or specific to a particular client, the representative is required to disclose in writing to a client any conflict of interest in respect of that client, including the measures taken to avoid or mitigate the conflict, disclose any ownership interest or financial interest, other than an immaterial financial interest and explain the nature of any relationship or arrangement with a third party that gives rise to a conflict of interest, in sufficient detail to a client to enable the client to understand the exact nature of the relationship or arrangement and the conflict of interest. The FSP's **Conflicts of Interest Management Policy** is available at the business premises of the FSP or on request by e-mail to: [complaints@bcsmarkets.co.za](mailto:complaints@bcsmarkets.co.za)

**Complaints Resolution:**

Please note that prior to lodging a serious complaint with the authorities (listed below) ideally you should consider lodging a complaint in writing directly with the FSP. Should confirmation be provided by the FSP that they are unable to resolve the complaint you are free to pursue the matter further with the relevant Ombud.

This FSP has established a written internal complaint resolution system with detailed procedures. Access to the Complaints Procedures and a copy of the complaint resolution system is available to clients at the business premises of the FSP each day during office hours or via e-mail request. Should you have any serious complaint, this must be submitted to the FSP in writing and must contain all relevant information. Copies of all relevant documentation must be attached thereto. The FSP welcomes any non-serious complaints to be brought to their attention via telephone or e-mail and which they will gladly assist in resolving to your satisfaction.

**Particulars of FAIS Ombud:**

P O Box 74571, LYNWOOD RIDGE, 0040  
E-mail: [info@faisombud.co.za](mailto:info@faisombud.co.za)  
Tel: (012) 470 9080,  
Fax: (012) 348 3447

**Particulars of Short Term Insurance Ombud:**

PO Box 32334, BRAAMFONTEIN, 2017  
E-mail: [info@osti.co.za](mailto:info@osti.co.za)  
Tel: 086 072 6890 / (011) 726 8900,  
Fax: (011) 762 5501

**Particulars of Long Term Insurance Ombud:**

Private Bag X45, Claremont, Cape Town, 7735  
E-mail: [info@ombud.co.za](mailto:info@ombud.co.za)  
Tel: 086 066 2837 / (021) 657 5000,  
Fax: (021) 674 0951

**Particulars of the Office of the Pension Fund Adjudicator:**

PO Box 23005, Claremont, 7735  
E-mail: [enquiries@pfa.org.za](mailto:enquiries@pfa.org.za)  
Tel: (011) 884 8454  
Fax: (011) 884 1144

**Responsibility for Correctness and Completeness of Information:**

Please note that in respect of any application, proposal, order, instruction or other contractual information that is required to be completed for, or submitted to a product supplier by or on your behalf that relates to the purchase of or investment in any financial product, including any amendment thereof or variation thereto, **all material facts must be accurately and properly disclosed, and the accuracy and completeness of all answers, statements or other information provided by you or on your behalf are your own responsibility;**

If any person completes or submits any application, proposal, order, instruction or other contractual information that is required to be completed for, or submitted to, a product supplier by you or on your behalf that relates to the purchase of or investment in any financial product, including any amendment thereof or variation thereto on your behalf, you should be satisfied as to the accuracy and completeness of the details.

Any misrepresentation or non-disclosure of a material fact or the inclusion of incorrect information could result in the cancellation of the transaction or the non-payment of a benefit by the product supplier.

**Signing of Incomplete Documents:**

You are hereby advised and cautioned that no person acting on behalf of the FSP may in the course of the rendering of a financial service, request you to sign any written or printed form or document prior to completion thereof.

**Waiver of Rights:**

No person may ask you or offer any inducement for you to waive any right or benefit conferred on you by or in terms of any provision of the General Code of Conduct of the FAIS Act, of which a copy is available on request.

**Rendering of Advice:**

The representative is strictly prohibited from providing any financial advice and is only authorised to offer intermediary services.

**Contact Details of Responsible Key Individual / Supervisor (if applicable):**

Name:	<b>Petrus Johannes Serfontein</b>
Position:	<b>Overseeing Key Individual</b>
Tel. No:	<b>012 001 9206</b>
Cell No:	<b>082 338 8330</b>
E-mail Address:	<a href="mailto:pserfontein@bcsmarkets.com">pserfontein@bcsmarkets.com</a>