

**BROKSTOCK SA (Pty) Ltd**  
**Regulation For Conducting Special Promotions**  
**Policy**

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# 1. INTRODUCTION

**1.1** BROKSTOCK SA (Pty) Limited (the "**Company**") is incorporated under the laws of South Africa and is registered by the Companies and Intellectual Property Commission with registration number 2020/523823/07. BROKSTOCK is a brand operated by BROKSTOCK SA (Pty) Ltd, a company incorporated and registered under the laws of South Africa and an investment firm regulated by the Financial Sector Conduct Authority ("FSCA") with license number 51404.

**1.2** This Regulation defines the general rules for conducting Special Promotions by BROKSTOCK SA (Pty) Ltd (herewith BROKSTOCK or the Company) for its clients. The conditions, as well as the additions and amendments made to it, are posted on the Company's website at:  
<https://brokstock.co.za>.

# 2. PARTICIPANTS OF THE PROMOTION

**2.1** Individuals, who are BROKSTOCK Clients who have a brokerage account with the Company are recognized as Participants of the Promotion.

**2.2** One client at the same time can participate in several Promotions. Clients who are employees of BROKSTOCK and / or employees of entities affiliated with it, as well as other persons related to the holding of Promotions, are not recognized as Participants of the Promotions.

# 3. GENERAL PROVISIONS

**3.1** The conditions for participation in the Promotion, the calculation and the established amounts of accrued bonuses, as well as the conditions for making trading operations on the account with the accrued bonus, are determined by the conditions in the description of each such Promotion.

**3.2** The duration of each promotion, the validity period of the bonus, the period and procedure for calculating the bonus is established by the Company in the corresponding description of each Promotion.

**3.3** Only one trading account can be connected to the Promotion. Only transactions, the duration of which was at least 3 minutes, opened and closed during the promotion period are taken into account as trading operations.

**3.4** If it detects suspicious transactions with credit funds, the Company has the right to exclude the trading account from participation in the Promotion, as well as cancel the accrued bonus by a onetime deduction of bonus funds from the trading account without prior notice and explanation of the reasons.

**3.5** If the Client reaches a zero or negative account balance, the Company reserves the right to write off bonus funds in full. Participation in the Promotion confirms that the Participant is familiar with and agrees with this Regulation.

## **4. FINAL PROVISIONS**

- 4.1** BROKSTOCK warns the participants of the Promotion that during its holding system risks (equipment malfunctions, software malfunctions, problems with communication, power supply, and other technical reasons) may arise.
- 4.2** In the event of the occurrence of these risks, BROKSTOCK takes all possible measures to eliminate them, however, it does not bear responsibility for the consequences resulting from these risks.
- 4.3** BROKSTOCK, during the period of the Promotions, has the right to amend, suspend or terminate current provisions of the promotions at any time at its sole discretion.
- 4.4** Regulations and supplement the Regulation with any other provisions by posting the appropriate amendments on the Site.
- 4.5** BROKSTOCK SA does not compensate the client's expenses that he or she may incur in the process of participating in the promotion. The client must independently track all changes in the specific market.

## **5. AMENDMENTS**

- 5.1** Amendments to this Policy will take place from time to time subject to the discretion of BROKSTOCK SA (Pty) Ltd and pursuant to any changes in the law. Such changes will be brought to the attention of employees, and members where it affects them.

## **6. OWNERSHIP OF THIS POLICY**

- 6.1** This Policy is owned by BROKSTOCK SA (Pty) Ltd, trading as BROKSTOCK, an authorised financial services provider in terms of the Financial Advisory & Intermediary Services Act (37 of 2002) and subordinate legislation, with FSP number 51404.
- 6.2** The Key Individual of BROKSTOCK SA (Pty) Ltd hereby confirms the adoption of this Policy on behalf of the governing body of the BROKSTOCK SA (Pty) Ltd and accepts responsibility for the successful training of employees and implementation of this Policy.