BROKSTOCK

BROKSTOCK SA (PTY) LTD

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 advice and/or intermediary services 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:	**BROKSTOCK SA (Pty) Ltd T/A BROKSTOCK**		Reg. No. 2020/523823/07	
Business Address:	Suite E 111, Midlands Office Park East		Sole Proprietor	☐
	Mount Quary Street		Partnership	☐
	Midlands Estate, Gauteng, Republic of South Africa, 1692		Close Corporation	☐
Postal Address:	Suite E 111, Midlands Office Park East		Company	X
	Mount Quary Street		Trust	☐
	Midlands Estate, Gauteng, Republic of South Africa, 1692			
Tel. No:	**012 001 9206 or 080 022 7672**	Fax No:	N/A	
Website address:	https://brokstock.co.za/			

Name and Contact Detailsof the Representative				
	Name:	**MARCO KNOOP**		
	Tel. No:	**012 001 9206**	**Cell. No:**	**N/A**
	Fax. No:	**N/A**	**E-mail:**	**knoopm@brokstock.co.za**

Qualifications & experience:	
	The representative has been active in the financial services industry since 2026.
	The representative is trained and accredited to render intermediary services inrespect of products provided by the following suppliers: IN ACCORDANCE WITH THE 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, 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 or regulator.

Name and Contact Details of the external Compliance Officer				
	Name:	**MR J J VAN ZYL and MR FB STEENKAMP**		
	Tel. No:	**+27 11 861 3838 or +27 21 330 5782**	**Cell. No:**	**N/A**
	Fax. No:	**N/A**	**E-mail:**	**info@outsourcedcompliance.co.za**
	Office Address	Office 4, Nedbank Building, 135 Rivonia Road, Sandown, Sandton, Gauteng, South Africa, 2196 (+27 11 861 3838)		
	Address	**Johannesburg:** Office 4, Nedbank Building, 135 Rivonia Road, Sandown, Sandton, Gauteng, South Africa, 2196 (+27 11 861 3838) **Cape Town:** The Launch Pad, 180 Lancaster Road, Gordon's Bay, Western Cape, South Africa, 7140 (+27 21 330 5782)		

Disclosure of Actual or Potential Conflicts of Interest:

In the event that a conflict of interest arises—whether generally or in relation to a specific client—the representative is required to disclose the conflict in writing to the affected client. This disclosure must include: 1. The nature and extent of the conflict of interest; 2. Any measures taken to avoid or mitigate the conflict; 3. Details of any ownership interest or financial interest (excluding immaterial financial interests); and 4. A clear explanation of any relationship or arrangement with a third party that may give rise to the conflict, presented in sufficient detail to allow the client to fully understand the nature and implications of such a relationship. The Financial Services Provider's Conflict of Interest Management Policy is available for inspection at the FSP's business premises during office hours or can be requested via email at info@brokstock.co.za.

Complaints Resolution:

Before lodging a formal complaint with any of the external authorities listed below, you are encouraged to first submit your complaint in writing directly to the Financial Services Provider (FSP). If the FSP confirms in writing that it is unable to resolve your complaint to your satisfaction, you are then entitled to escalate the matter to the appropriate Ombud or regulatory authority. This FSP has implemented a formal Internal Complaints Resolution Policy, which includes clearly defined procedures for handling and resolving client complaints. A copy of this policy is available upon request and can be accessed either on the FSP's official website or by emailing info@brokstock.co.za. For less serious or informal complaints, you are welcome to contact us via telephone, email, or through our dedicated instant messaging platforms. Our team is committed to addressing such concerns promptly and professionally, with the aim of resolving them to your satisfaction. We value all feedback and view complaints as an important part of improving our service delivery and accountability.

Particulars of FAIS Ombud: P O Box 74571, LYNWOOD RIDGE, 0040 E-mail: 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 Tel: 086 072 6890 / (011) 726 8900, Fax: (011) 762 5501
Particulars of Long Term Insurance Ombud: Private Bag X45, Claremont, Cape Town, 7735E-mail: info@ombud.co.za Tel: 086 066 2837 / (021) 657 5000, Fax: (021) 674 0951	**Particulars of the Office of the Pension Fund Adjudicator:** P.O. Box 580 Menlyn 0063 E-mail: enquiries@pfa.org.za Tel: (012) 748 4000 Fax: (086) 693 7472

Responsibility for Correctness and Completeness of Information:

Please be aware that for any application, proposal, instruction, order or related contractual documentation submitted to a product supplier—whether by you or on your behalf—for the purchase or investment in a financial product (including any amendments or variations), it is your responsibility to ensure that all material facts are accurately and fully disclosed.

If another person assists you in completing or submitting such documents, you must take reasonable steps to confirm the accuracy and completeness of all details provided. You remain fully responsible for the correctness of all answers, statements, and supporting information, regardless of who prepares or submits the documentation on your behalf.

Please note that any misrepresentation, omission, or non-disclosure of material information may result in adverse consequences, including but not limited to: 1. The rejection or cancellation of the transaction; 2. The forfeiture or non-payment of benefits by the product supplier; 3. Legal or regulatory implications depending on the nature and extent of the misrepresentation. We strongly recommend that you review all submitted information carefully before submission to avoid any unintended outcomes.

Signing of Incomplete Documents:

You are hereby advised and cautioned that no individual acting on behalf of the Financial Services Provider (FSP) may, in the course of providing financial services, request or require you to sign any form or document—whether written or printed—before all relevant sections have been properly and fully completed. To protect your interests, always ensure that all information is clearly filled in and understood before affixing your signature. This is in line with fair business practices and regulatory compliance requirements. However, the FSP makes use of electronic acceptance for its Terms and Conditions. By clicking the acceptance button, you are deemed to have provided your electronic signature, thereby legally agreeing to the contents of the document.

Waiver of Rights:

No person may request, persuade, or offer any inducement for you to waive any right or benefit afforded to you under the provisions of the General Code of Conduct issued in terms of the Financial Advisory and Intermediary Services (FAIS) Act. Your rights are legally protected and any attempt to undermine them is not permitted. A copy of the General Code of Conduct is available upon request should you wish to review your entitlements and protections.

Rendering of Advice:

Please note that the representative is strictly prohibited from providing any form of financial advice. They are solely authorised to render intermediary services, which include facilitating administrative processes—without offering any recommendations or guidance on financial products.

Warning against Impersonating:

While the representative takes every possible measure to prevent impersonation, it is ultimately your responsibility to verify that you are engaging with the correct individual. We strongly encourage you to confirm the representative's identity by contacting us directly using the official contact details provided. If you suspect any instance of impersonation or receive suspicious communication, please report it to us immediately so we can take the necessary action.

Banking Details:

The Financial Services Provider (FSP) will never disclose its banking details through any public forum or via any unofficial communication channels. Banking information will only be shared through the secure, dedicated method implemented within our official application. This measure is in place to protect clients against fraud, phishing and impersonation. If you ever receive banking details through any other means, please treat it as suspicious and report it to us immediately. Always ensure that you are using the official application or contacting us directly through verified channels when transacting or requesting sensitive information.

Contact Details of Responsible Key Individual / Supervisor (if applicable):	
Name:	**Petrus Johannes Serfontein**
Position:	**Overseeing Key Individual**
Tel. No:	**012 001 9206**
Cell No:	*** *** ****
E-mail Address:	**pserfontein@brokstock.co.za**

The version of this document with unmasked personal data is available upon request.