

**BP BERNSTEIN (PTY)LTD**

**REGULATED JSE EQUITIES & FAIS DISCRETIONARY FINANCIAL SERVICES PROVIDER**

Registration No: 2005/004492/07 /FSP License No: [40810]

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## **CLIENT COMPLAINT SUBMISSION FORM**

**Purpose of this Form:** This form is designed to help retail investors formally lodge a complaint regarding execution-only accounts or managed discretionary portfolios. Please complete all sections as accurately as possible and submit this form along with any supporting documentation to amy@bpbernstein.co.za

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### **SECTION 1: CLIENT INFORMATION**

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**Full Name / Registered Entity Name:**

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**Identity Number / Passport Number:**

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**Company Registration Number (If Corporate):**

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**Stockbroking Account Number(s):**

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**Preferred Contact Number:**

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**Email Address:**

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**Physical Address:**

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### **SECTION 2: ACCOUNT & SERVICE TYPE**

Please place an **[ X ]** in the box that applies to your disputed account type.

- **Execution-Only Portfolio** (You make your own trading decisions and place your own buy/sell orders)
  - **Discretionary Mandate Portfolio** (Our portfolio managers buy and sell shares on your behalf based on a signed mandate agreement)
  - **Investment Advisory Mandate Portfolio** (Advice given based on your risk profile as per a signed mandate agreement)
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### **SECTION 3: NATURE OF THE COMPLAINT**

Please place an **[ X ]** in the box(es) that best describe the root cause of your dispute.

Page 1 of 3

BP Bernstein Client Complaint Submission Form

- **Breach of Mandate / Investment Strategy** (*Trades placed do not match your signed risk profile or mandate constraints*)
- **Unauthorised Trading Activity** (*Trades placed in an execution-only account without your explicit permission*)
- **Fee / Commission Discrepancy** (*Incorrect charging of brokerage fees, management fees, or performance fee calculations*)
- **Trade Execution Failure or Delay** (*Platform technical issues, late order routing, or failure to execute a stop-loss order*)
- **Lack of Disclosure / Misleading Information** (*Failure to disclose structural product risks or conflict of interests*)
- **Administrative Negligence** (*Errors or delays in processing portfolio rebalancing, cash withdrawals, or account transfers*)

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#### SECTION 4: DETAILED DESCRIPTION OF THE DISPUTE

**1. Date(s) of the specific incident or disputed transaction(s):**

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**2. Share Code(s), Ticket Reference, or Instrument Type involved (e.g., SOL, AGL, NPN):**

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**3. Provide a clear, chronological description of what occurred:**

*(If you need more space, please append a typed Microsoft Word page or annexure to this application)*

**4. Quantifiable Financial Loss / Damages Claimed (ZAR Amount):**

R \_\_\_\_\_

**5. What specific resolution or redress are you seeking from the firm?**

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#### SECTION 5: SUPPORTING DOCUMENTATION CHECKLIST

*Please attach copies of the following items to your email submission to prevent investigation delays:*

- Copy of your ID, Passport, or Entity Registration Document.
- Copies of the relevant Disputed Contract Notes / Trade Confirmations.
- A copy of your signed **Investment Mandate Agreement** (*Mandatory for discretionary account disputes*).

- Visual proof of errors (e.g., screenshots of trading desk glitches, error logs, or relevant email correspondence).

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## SECTION 6: CLIENT DECLARATION & ACKNOWLEDGEMENT

By signing below, I, the client, declare that:

1. The information provided in this complaint form is true, accurate, and complete to the best of my knowledge.
2. I understand that the firm will investigate this matter internally and is required by JSE Equity Rules to provide a final written response within **four (4) weeks** of receipt.
3. I am aware that if the matter is not resolved to my satisfaction within four (4) weeks, I retain the legal right to escalate this dispute to the JSE Market Regulation Division or the Office of the FAIS Ombud within six (6) months.

**Client Full Name:** \_\_\_\_\_

**Client Signature:** \_\_\_\_\_

**Date Signed (DD/MM/YYYY):** \_\_\_\_\_

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