

ALFA FINANCIALS (PTY) LTD.

# COMPLAINTS HANDLING PROCEDURE

Version 1.0  
May 2016

## COMPLAINTS HANDLING PROCEDURE

Alfa Financials makes every effort to ensure that its systems and policies are as consistent and clear as possible. However, we recognize that disputes can occur and that a client might wish to raise a formal complaint. We undertake to investigate fully any such complaint made against the company or any of its employees.

In the first instance a client may lodge a complaint through the Contact Us section of our website or telephone and/or email either our Client Services Department or Trading Desk to discuss the issue. If, following that action, the matter is not resolved to the client's satisfaction he/she may make a formal written complaint to Compliance Officer in writing, explaining the full details of your complaint:

Compliance Officer,  
Alfa Financials PTY Ltd.  
Unit 16, 2<sup>nd</sup> Floor,  
Katherine & West, 114 West St.,  
Sandton, 2196, South Africa

Alternatively, you can email: [compliance@alfafinancials.co.za](mailto:compliance@alfafinancials.co.za)

When contacting us in writing, please provide us with your full name, account number and address along with a daytime telephone number on which we can contact.

We shall:

- Acknowledge in writing within 1 week that your complaint has been received and may request further information in order to conduct an impartial investigation and review of the issue to determine if Alfa Financials has acted fairly and observed its contractual obligations.
- Investigate and attempt to resolve the complaint within four weeks, and notify you of the same.
- Respond with a final determination within a maximum period of eight weeks

Should the client remain dissatisfied after receipt of that determination he/she may contact the Ombud for Financial Services Providers; contact details for whom are set out below:

Postal Address:	FAIS OMBUD P.O. Box 74571 Lynnwood Ridge, 0040, South Africa
Tel:	+27 12 470 9080
Toll Free:	0860324766
Email:	<a href="mailto:info@faisombud.co.za">info@faisombud.co.za</a>
Website:	<a href="http://www.faisombud.co.za">www.faisombud.co.za</a>

Please note that if you wish to refer your complaint to the FAIS Ombud, you must do so within 6 months of the date of our final response to your complaint. The FOS will not take on a complaint until we have in the first instance had the opportunity to investigate your complaint and provide you with our response.