

COMPLAINTS POLICY



**Leisure
Assurance Brokers cc**

Authorised Financial Services Provider FSP #3526



SPECIALISTS IN LONG TERM RISK, INVESTMENT & HEALTH COVER

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1 Aim

It is the aim of this document to give clear and concise guidelines when receiving a complaint and the successful resolution of complaints in terms of the Code of Conduct

2 Scope

It is a requirement in terms of the Code of Conduct that each FSP must have a complaints policy which must be available to each client on requested. It is important that each Key Individual and representative acquaints himself/herself with the contents of this document.

3 Complaint

In order for a complaint to receive the attention that it deserves;

3.1 The complaint must be submitted in writing.

3.2 Ensure that proof of delivery is retained

4 Relevance of a complaint

The financial services environment is complex, therefore it is endeavoured to address all reasonable requests from clients, but reserve the right to refer any complaint to a more appropriate facility.

4.1 Where the complaint pertains to any aspect of our service, or any disclosures that ought to be made by us, we will endeavour to address those complaints in writing, within 5 working days.

4.2 In instances where the complaint pertains to something not within the control of the FSP, such as product information or investment performance it will be forwarded to the product provider concerned.

5 Procedure

The following is a step-by-step guideline of how a complaint will be dealt with.

5.1 The complaint will be logged onto a central complaints register on the same day that it is made and confirmation of receipt forwarded to the complainant.

NOTE: A dedicated person is appointed to hold the complaints register and to respond to all claims.

- 5.2 The complaint is immediately brought to the attention of the Key Individual of this FSP for allocation and investigation by a trained and skilled person who specialises in that type of complaint.
- 5.3 The complaint will be investigated and the findings communicated to the complainant within 10 working days by Simeon Watson.
- 5.4 After having referred the complaint through all the channels of the FSP the complainant is not satisfied with the outcome, the complaint will be regarded as being unsatisfactorily resolved. In such a case, the complainant may;
- 5.4.1 Approach the office of the Ombud for Financial Services Providers. The referral to the office of the Ombud must be done in accordance with the provisions of section 21 of the FAIS Act and the rules promulgated in terms of that section.
- 5.4.2 Take such other steps as may be advised by your legal representatives.
- 5.4.3 In instances where the complaint has not been resolved within six weeks the matter will be referred to the Ombud.
- 5.5 If the complainant wishes to refer the matter to the Ombud this referral must be done within a period of six (6) months.

NOTE: The Ombud will not adjudicate in matters exceeding a value of R800 000.00.

- 5.6 The Ombud – Ms Masina, may be contacted at her offices in Pretoria, at the following address:

Ms. Thobile Prudence Masina (acting)

125 Dallas Avenue Menlyn Central,
Waterkloof Glen, Pretoria

Tel: [012 762 5000](tel:0127625000)

Sharecall: [086 066 3274](tel:0860663274)

Email: info@faisombud.co.za

Website: www.faisombud.co.za