



COMPLAINTS MANAGEMENT POLICY

Tickmill South Africa (Pty)

FSP No: 49464

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1. Process

Should you feel that any representative of the Tickmill South Africa (Pty) Ltd has contravened or failed to comply with a provision of this Act, and that as a result thereof you have suffered or are likely to suffer financial prejudice or damage; or if any representative of Tickmill South Africa (Pty) Ltd has willfully or negligently rendered a financial service to you which has, or is likely to cause prejudice or damage to you; or where you believe you have been treated unfairly, you have the right to complain.

1.1 First Step in Process

- a. Your complaint must be lodged in writing with the Compliance Officer of Tickmill South Africa (Pty) Ltd. She can be contacted at compliance@tickmill.com or on 011 100 2551. The complaint must contain all relevant information relating to the case and all attachments thereto.
- b. The Compliance Officer must acknowledge receipt of your complaint in writing to you.
- c. The Complaint must be recorded into a “complaints register” at Tickmill South Africa (Pty) Ltd (all relevant facts and supporting documentation must be kept on record too).
- d. The complaint will receive reasonable consideration within proper management controls
- e. A decision will be communicated to the client within 6 weeks and full written explanation provided with reasons should the outcome not be favourable to the client.
- f. Should the decision be in the clients favour appropriate measures of redress will be provided to client without further delay.
- g. The complaint must be resolved within six (6) weeks of receipt.

1.2 Second Step in Process

Should you not be entirely satisfied with the resolution of the complaint you may now complain to the **Ombud for Financial Services Providers within 6 months** whose particulars are provided below. The Office of the Ombud will not investigate a complaint unless it has been lodged with the Compliance Officer of the Financial Services Provider first.

Ombud Contact Details

Toll free no:	0860FAISOM (0860324766)
Telephone:	+27 12 470 9080
Facsimile:	+ 27 12 348 3447
E-mail address:	info@faisombud.co.za
Website:	www.faisombud.co.za
Postal Address:	P.O.Box 74571, Lynnwood Ridge, 0040

This Complaints Management Policy has been adopted as follows:

Signed this _____ day of _____ 20_____.

Signature _____