



# TREASURYONE

Unlocking Value

CLIENT COMPLAINTS PROCEDURE with respect to FAIS  
FINANCIAL ADVISORY and INTERMEDIARY SERVICES ACT

## CLIENT COMPLAINTS PROCEDURE

### 1. DEFINITIONS:

1. **FAIS** means the FINANCIAL ADVISORY and INTERMEDIARY SERVICES ACT no 37 of 2002.
2. **COMPLAINT** means, subject to section 26(1)(a)(iii) of FAIS, a specific complaint relating to a financial service rendered by a financial services provider or representative to the complainant on or after the date of commencement of this Act, and in which complaint it is alleged that the provider or representative-
  - a) has contravened or failed to comply with a provision of this Act and that as a result thereof the complainant has suffered or is likely to suffer financial prejudice or damage;
  - b) has wilfully or negligently rendered a financial service to the complainant which has caused prejudice or damage to the complainant or which is likely to result in such prejudice or damage; or
  - c) has treated the complainant unfairly.
3. **COMPLAINANT** means the client themselves, or
  - a) a client's lawful successor in title, and/or
  - b) a nominated beneficiary of the original client
4. **FAIS COMPLIANCE OFFICER**, means the person who is responsible and competently trained within TreasuryONE (Pty) Ltd to attend to all matters of legal compliance with FAIS. Andre Cilliers is the licensed compliance officer.

## **2. PROCEDURE:**

FAIS requires that TreasuryONE (Pty) Ltd has a formal complaints procedure, which is set out herein.

1. Where a complainant wishes to lodge a formal complaint about services rendered in terms of FAIS by TreasuryONE (Pty) Ltd, the complainant should be advised to record the complaint in writing and together with supporting documentation address the complaint to:

The FAIS Compliance Officer,

### **Physical address:**

Lynnwood Bridge Office Park  
Bloukrans Building – 1st Floor  
Cnr Daventry and Hilden Streets  
Lynnwood Manor  
Pretoria  
0081

### **Per email:**

andre@treasuryone.co.za

2. In the event that the complainant, does not wish to not make a formal complaint, but wishes to discuss the matter with the FAIS Compliance Officer – kindly either direct the call to the FAIS Compliance Officer or request the FAIS Compliance Officer to contact the client.
3. Upon receipt of a written complaint – the FAIS Compliance Officer will promptly:
  - 3.1. Acknowledge, receipt of the complaint in writing and advise the complainant of TreasuryONE's commitment to the expedient resolution of the complaint.
  - 3.2. The FAIS Compliance Officer will investigate the nature, cause and effect of the complaint with all the affected and necessary parties involved.

- 3.3. The complainant will be advised in writing of any findings or possible requests for further information, as are applicable.
- 3.4. Where necessary, a tribunal will be set up to resolve the complaint and make the appropriate awards.
4. All staff of TreasuryONE are requested to familiarise themselves with this procedure, to ensure the professional management of any complaint received either verbally or in writing.

**The FAIS Ombud can be contacted at:**

**Physical Address:**

Sussex Office Park Ground Floor, Block B 473 Lynnwood Road Cnr Lynnwood Road & Sussex Ave, Lynnwood, 0081

**Postal Address:**

PO Box 74571 Lynnwood Ridge 0040

**Other Contact Details:**

Telephone: +27 12 762 5000 / +27 12 470 9080

Facsimile: +27 86 764 1422 / +27 12 348 3447

E-mail Address: [info@faisombud.co.za](mailto:info@faisombud.co.za)

Website: [www.faisombud.co.za](http://www.faisombud.co.za)