



# *Independent Alternatives* INVESTMENT MANAGERS

INDEPENDENT ALTERNATIVES INVESTMENT MANAGERS (PTY) LTD

“THE COMPANY”

COMPLAINTS RESOLUTION PROCESS

June 2017

## PURPOSE OF THIS DOCUMENT

The Company is a licensed Financial Services Provider with authority to render advisory and intermediary financial services to clients in terms of the FAIS Act. In terms of the FAIS, the company has certain duties to fulfill. One of these duties is to offer our clients a Complaints Resolution Procedure, which enable our clients to exercise their rights as provided in the Act.

## **1. CLIENT'S PROCEDURE FOR LODGING A COMPLAINT**

If a client feels that any key individual and / or representative of The Company provided them with financial advisory or intermediary services that do not comply with the Act or if they suffered financial losses as a result of negligent or intentional error, the client is entitled to lodge a complaint.

To lodge a complaint the client must send their complaint in writing to [exco@independentalternatives.co.za](mailto:exco@independentalternatives.co.za), with the following information:

- Client name, surname and contact details;
- A complete description of the complaint
- The name of the key individual and/or representative that provided the client with the financial services;
- The date on which the matter occurred;
- All the supporting documentation relating to the client's complaint;
- Preferred method of communication i.e. email or post.

## **2. PROCEDURE FOR RECEIVING A COMPLAINT**

The Company will acknowledge in writing any complaints received within 3 days. The company, its directors and the compliance officer will then investigate the complaint to ensure that it is resolved within 30 working days from receipt thereof. If the Company is unable to resolve the client's complaint within 30 working days, or unable to resolve the complaint to client's satisfaction, the client has the right to refer the complaint to the FAIS Ombud.

The FAIS ombudsman provides an independent and objective advisory service. Should you not be satisfied with the outcome of a complaint handled by Independent Alternatives Investment Managers, please write to:

The Ombudsman  
PO Box 74571  
Lynnwoodridge, 0040  
Telephone (012) 470 9080 or (012) 470 9997  
Fax (012) 348 3447  
E-mail: [info@faisombud.co.za](mailto:info@faisombud.co.za)