

## **Complaints Resolution Process**

*In terms of the Financial Advisory and Intermediary Services Act, (Act No. 37 of 2002) (“FAIS”)*

Cargill RSA (Pty) Ltd

FSP: 34023

Prepared by Oracle Compliance



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## 1. Process

Should you feel that any representative of Cargill RSA 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 Cargill RSA 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 Cargill RSA Mr Leonardo d'Onofrio. He can be contacted of [leonardo@oraclecompliance.com](mailto:leonardo@oraclecompliance.com) or on 011 100 2551.
- 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 Cargill RSA (all relevant facts and supporting documentation must be kept on record too).
- d. 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**. 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

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

