

# White Investments

Advisory and Discretionary Investment Management Services

## COMPLAINTS PROCEDURE POLICY

DOMINIC JOSEF WHITE trading as

**WHITE INVESTMENTS FSP 43618**

### Purpose

White Investments is committed to ensuring that all business is conducted in a fair and ethical manner that safe guards the best interests of our clients. We take pride in providing a professional service that lives up to the highest standard of service in terms of our commitment to each client. If at any time you feel we have not lived up to this standard you have the right to lodge a complaint with us.

### Complaints Procedure

Should a client wish to lodge a complaint:

- i) It must be submitted in **writing** and contain all relevant personal details, detailed reasons for the complaint, including copies of all relevant supporting documentation.

### Postal Address:

**White Investments Complaints,**

**P.O. Box 866,**

**Umhlali,**

**4390**

### E-mail address:

**dominic.white@whiteinvestments.com**

- ii) White investments will in turn respond in writing acknowledging receipt of the written complaint.
- iii) We will conduct a thorough investigation into the complaint and collect all applicable facts to assess the complaint objectively, considering the client, the company and staff involved.
- iv) Upon conclusion of the investigation and consideration of all relevant facts we will make a decision as to the resolution of the complaint. We aim to inform the client of our findings and our proposed internal resolution in writing within 3 weeks of receiving the initial complaint.
- v) If satisfied with the proposed internal resolution, the client will then agree on the resolution in writing and White investments will be in a position to act on the resolution.
- vi) If after 6 weeks the client is dissatisfied with the final resolution supplied by White Investments they may, within 6 months from the date of receipt of

the final resolution, pursue the issue with the FAIS Ombud at the following address:

Physical Address: FAIS Ombud, Celtis House, Eastwood Office Park, Lynwood Road, Pretoria

Postal Address: P.O. Box 74571, Lynwood Ridge, 0040

Telephone: +27 12 470 9080

Facsimile: +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)

For more details on the Rules and Proceedings of the Office of the Ombud for Financial Service Providers, 2003 please refer to Board Notice 81 of 2003.

- vii) In any case where a complaint is resolved in the favour of a client, White Investments must ensure that a full and appropriate level of redress is offered without any delay.
- viii) White Investments is obligated to maintain a record of all complaints correspondence for a period of 5 years. We will also maintain a record of all instances of non-compliance with the legislation in the same register.
- ix) We will maintain a Complaints Register into which every complaint and instance of non-compliance is entered and must contain:
  - a. Client Name
  - b. Date complaint was received
  - c. Reason for complaint
  - d. How and when complaint was resolved
  - e. If not resolved then White Investments intended action.
- x) We are committed to resolving all complaints in fair and timely manner. We will endeavour to change and improve our systems and service to eliminate or minimise any chance of repeat complaints where possible and or appropriate.