

Complaints Resolution Process

Agis Investments (Pty) Ltd. – An authorized Financial Services provider FSP No: 45112

Agis Ventures (Pty) Ltd. RF – An authorized Financial Services Provider FSP No: 47130



1. Process

Should you feel that any representative of Agis Investments (Pty) Ltd. or Agis Ventures (Pty) Ltd. RF (together referred to as “Agis”) have 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 Agis 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. In a first step, formally lodge your complaint, in writing, with the CEO of Agis at bernard.chidzero@agis-investments.com. If the CEO is subject of the complaint, address the complaint to either of the other directors (Rolf Endres at rolf.endres@agis-investments.com, or Nic Raubenheimer nic.raubenheimer@agis-investments.com)
- b. The complaint must be resolved within three (3) weeks of request.

1.2 Second Step in Process

- c. Your complaint must be lodged in writing with the Compliance Officer of Agis Investments (Pty) Ltd., Mr Leonardo d’Onofrio. He can be contacted at leonardo@oraclecompliance.com or on 011 100 2551.
- d. The Compliance Officer must acknowledge receipt of your complaint in writing to you.
- e. The Complaint must be recorded into a “complaints register” at Agis Investments (Pty) Ltd. (all relevant facts and supporting documentation must be kept on record too).
- f. The complaint must be resolved within six (6) weeks of receipt.

1.3 Third 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

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

