



Shackleton Risk Management (Pty) Ltd (FSP Number 33621)

Our commitment to you

At Shackleton Risk Management, each of our customers is important to us, and we believe you have the right to fair, swift and courteous service at all times. We are in receipt of your complaint and we will deal with it promptly, effectively and in a positive manner.

4.14

SHACKLETON RISK MANAGEMENT COMPLAINTS PROCEDURE

Should you wish to lodge a complaint, you must do so in writing, by sending your complaint, with relevant supporting documentation, to our Compliance Officer, Mr Steven Main at complaints@srisk.co.za; or post to Mr Steven Main, 3 On Crescent, 3 Cascades Crescent, Montrose, Pietermaritzburg, 3201
PO Box 13764, Cascades, 3202 | Docex 77, Pietermaritzburg | Tel 033 342 3645 | Fax 033 264 8501

We will acknowledge your complaint within 5 working days of receipt of your complaint and will provide you with the names and contact details of the staff responsible for the handling of your complaint. We will log the date and contents of the complaint in our Complaints Register.

We will promptly investigate your complaint to ascertain whether it can be resolved immediately. If the complaint can be resolved immediately, we shall take the necessary action and advise you accordingly. If the complaint cannot be resolved immediately, we will send you a written summary of the steps to be taken to resolve the matter and the expected date of resolution.

Once the resolution process has been finalised, we will communicate the outcome of the complaint to you in writing. The complaint will only be finalised once the Compliance Officer has reviewed and agreed with the outcome.

If we are unable to resolve your complaint within 4 weeks of logging the complaint in the Complaints Register, we will notify you accordingly and advise you of your right to proceed in terms of Rule 6(a) and 6(b) of the Rules on Proceedings of the Office of the Ombud for Financial Services Providers which provides as follows:-

If within four weeks of receipt of a complaint the responding party has been unable to resolve the complaint to the satisfaction of the client, the responding party must inform the complainant:

1. The complaint may be referred to the Office of the Ombud if the complainant wishes to pursue the matter; and
2. The complainant should do so within six months of receipt of such notification, or
3. Seek legal redress from any such legal forum as may be appropriate.

Therefore, if more than 4 weeks from the date of your complaint have passed and you have not received a final response, or you are dissatisfied with the final response you have received (at any stage of the process) you can write to:

The FAIS Ombud
PO Box 74571, Lynwood Ridge, 0040 | Tel 012 470 9080/99 | Fax: (012) 348 3447 | www.faisombud.co.za