



INTERNAL COMPLAINTS MANAGEMENT POLICY

Cape Capital Group (Pty) Ltd.

FSP: 50206



This is the corporate website of the Cape Capital Group (Pty) Limited (“the Company”).

The Company is an authorized Financial Service Provider by the Financial Sector Conduct Authority (FSCA) in South Africa. The Company is listed under the FSP No. 50206 and under the Registration No. 2019/142922/07.

Introduction

The Company has established the *Internal Complaints Management Policy* in order to promote the highest standards of professionalism and ethics, as well as to ensure fair treatment of customers. The Company has adopted this Policy in order to ensure that all representatives, staff members, and individuals overseeing the Company shall abide by this Policy and show their commitment by signing this Policy.

The Company is dedicated to provide an exceptional standard of service to its clients and to integrating the principles of fair treatment of customers within the Company. In order to safeguard an utmost service to each and every client, the Company has decided to hold and store records and track the complaints thereof.

According to Section 26(1)(a)(ii) of the Financial Advisory and Intermediary Services Act No, 37 of 2002 (FAIS Act), a “complaint” means a specific complaint relating to a financial service rendered by a FSP or representative to the complainant on or after the date of commencement of the FAIS Act, and in which complaint it is alleged that the provider or representative: (a) has contravened or failed to comply with a provision of the Act and that as a result thereof the complainant has suffered or is likely to suffer financial prejudice or damage; (b) has willfully or negligently rendered a financial service to the complainant which has caused prejudice or damage to the complainant or which is likely to result in such prejudice or damage; or (c) has treated the complainant unfairly.

Filing of a complaint against the Company and/or its employees

In case a client has experienced unsatisfactory service or for being treated unfairly that is not in consonance with the high quality of service and the principles of fair treatment of clients that the Company is promoting, the client may file a complaint in writing or through a direct call to the complaints department of the Company. A complaint initiated through a call will be recorded in full and the complaints officer shall be given at least thirty days to determine and thoroughly investigate whether a sufficient ground exists to pursue the complaint and to determine the necessary steps in order to resolve the matter raised hereof. In the determination of the existence of the grounds thereof, the complaints department shall only give its best efforts to resolve the matter raised thereof and the level of solution and procedure that the Company has adopted.



The recording of the call shall be used by the Company for reviewing purposes.

In case a client believes that he or she has been prejudiced by the Company and/or its employees, a complaint may be filed by the client against the Company and/or its employees. The complaint must be filed in writing, stipulating the grievance in detail, and it shall be accompanied by sufficient proof thereof.

Take note that a complaint that is not accompanied with supporting documents will not be considered by the Company for investigation and resolution.

The Company shall respond to the complaints at least within thirty days from the time of the consideration of the complaint. The client shall be notified of the date of receipt by the Company. Thereafter, the Company shall thoroughly investigate the complaint, resolve the complaint to the best interest of the client and to give proper consideration thereof when necessary. In case it is determined that a grievance exist, the Company shall provide the proper redress. In case it is determined that no sufficient ground exists to prove the grievance raised, the Company shall provide a statement in full detail about the findings and the appropriate level of solution and procedure that the Company has adopted. The Company shall only provide full efforts in resolving the complaint to the best interest of both the client and the Company and/or its employees.

The client shall be kept updated on the development of the complaint.



COMPLAINT FORM
CLIENT INFORMATION

Account Number:
Legal Status:
First Name:
Surname:
Country:
City:
Area:
Contact No. / Landline No.:
Email address (<i>associated with your Cape Capital account</i>):

Type of Product or Service

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COMPLAINT DESCRIPTION

Please write below in full detail the relevant information regarding your complaint.

Please attach in this complaint form the necessary proof or documents to support the complaint.

Date

Signature



CUSTOMER COMPLAINTS HANDLING

Please write below in full detail the relevant information regarding the Officer who handled the complaint and the actions taken thereof.

Received by:
Date received:
Company action taken:

Complaint resolved within 30 days?

Date

Signature



Cape Capital Group:

Registered Office: First Floor Zotos House, 183 Smit Street, Fairland Johannesburg, Gauteng

Country of registration: South Africa

FSP No.: 50206

Registration Number: 2019/142922/07

Category License: Category 1

Registered Office: First Floor Zotos House, 183 Smit Street. Fairland Johannesburg, Gauteng

Contact No.: 087 897 6970

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