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F +27 (0) 21 425 9237  
W easyequities.co.za

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T +27 (0) 87 940 6090  
F +27 (0) 31 576 5088  
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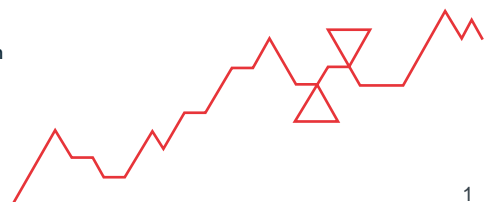
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T +27 (0) 87 940 6000  
F +27 (0) 11 214 8028  
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**Directors:**

Mark Barnes/Chairman  
Charles Savage/CEO  
Gary van Dyk/CF00

First World Trader (Pty) Ltd t/a EasyEquities is an authorised Financial Services Provider.  
FSB License No. 22588.



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## i. Introduction

FAIS is aimed at protecting consumers by ensuring that the rendering of intermediary services and/or the giving of advice in relation to a financial product is done in a competent and transparent manner. Consumers of financial products have the right to complain about any inappropriate advice or services rendered. First World Trader (Pty) Ltd, trading as EasyEquities is committed to maintaining these standards of competency and transparency when dealing with prospective and existing customers.

## ii. Our Complaints Procedure

### Who may lodge the complaint?

The complaint may be lodged by you as a client, a nominated beneficiary or a lawful successor.

### What constitutes a complaint?

A complaint relating to a financial service rendered by the FSP or Representative which may be lodged by you against EasyEquities or any of its representatives if you have:

- a. been treated unfairly; and
- b. suffered prejudice or damage as a result of EasyEquities or its representative failing to comply with the provisions of FAIS.
- c. suffered prejudice or damages as a result of the wilful or negligent financial service rendered by EasyEquities or its representative

### How to complain – the first step:

1. It is advisable to complain to EasyEquities or its representative first.
  - i. Phone our client relations team on +27 (0)87 940 6106.
  - ii. Email [helpme@easyequities.co.za](mailto:helpme@easyequities.co.za).
2. Ask us to look at the complaint. You will need to fill in our complaint form with the details. Our client relations team can help you fill the form in. Alternatively, our client relations team can send the form to you.
3. Our complaint form:
  - i. Complainant needs to sign the complaint form and return it to us.
4. Complaint forms will be directed to the relevant departmental manager.
5. Complaints regarding unusual or suspicious transactions and fraud will be forwarded to the EasyEquities Compliance Officer.

### **Receipt of the complaint**

#### **Once you have lodged your complaint we will:**

- Acknowledge receipt of the complaint in writing as soon as reasonably possible.
- Investigate the complaint in a timely and fair manner.
- Respond in writing to you with the outcome of our investigation.
- If we are unable to address the complaint within 3 (three) weeks of receipt, we will provide you with an update
- Should we fail to resolve the complaint to your satisfaction within 6 (six) weeks, we will inform you of the following:
  - that you may refer your complaint to the FAIS Ombudsman if you still wish to pursue the matter;
  - that you must lodge your complaint with the FAIS Ombudsman within 6 (six) months of receipt of such notification

### **iii. Other Ombudsman and Regulatory Contact Details**

If your complaint is dismissed, you will receive a written explanation. After dismissal you may within six (6) months refer your complaint to the FAIS Ombud by using the details below:



Financial Services Board

Postal Address:  
FAIS Ombudsman  
PO Box 74571  
Lynwood Ridge  
Pretoria  
0040

Telephone: +27 12 762 5000 / +27 12 470 9080

Email: [info@faisombud.co.za](mailto:info@faisombud.co.za)

Website: [www.faisombud.co.za](http://www.faisombud.co.za)



The National Consumer Commission

Postal Address:  
PO Box 36628  
Menlo Park  
0102

Telephone: +27 12 428 7000

Email: [complaints@thenc.org.za](mailto:complaints@thenc.org.za)

Website: [www.thenc.org.za](http://www.thenc.org.za)



