



Customer Complaints Process

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COMPLIANCE SERVICES

DATA SERVICES

INTERMEDIARY SERVICES

RISK SERVICES

Empowering the Financial Services Industry.

T +27 11 214 0900 E support@astutefse.com P PO Box 2958, Sunninghill, 2157 A Building 2, Corporate Campus, 74 Waterfall Drive, Waterfall City, Waterfall, 2090
www.astutefse.com

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Table of Contents

| | |
|-----------------------------------|---|
| 1. INTRODUCTION | 3 |
| 2. PURPOSE | 3 |
| 3. SERVICE STANDARDS | 3 |
| 4. DEFINITION OF A COMPLAINT..... | 4 |
| 5. PROCEDURE | 4 |

1. INTRODUCTION

Astute FSE is committed to providing the best possible service that we can. We recognize that sometimes customers will feel that they have cause to complain about the service they are or have received. We encourage all feedback from customers, including complaints, and have developed a Complaints Policy and an associated Complaints Procedure. Our Complaints Policy explains our broad approach to handling all complaints.

Our Complaints Procedure provides clear information on how individual complaints will be handled.

Reports relating to complaints will be responded to in accordance with our Policies and Procedures. If you are not satisfied with the way we have handled your complaint, this will be dealt with as a failure of service under the terms of our Complaints Policy.

2. PURPOSE

This policy sets out our intent and objectives for how we handle complaints, from offering a clear and approachable system for customers to complain, through to conducting root cause analysis on all complaints received to identify the cause, issues and corrective actions regarding the complaint, and to implement measures to prevent reoccurrences where applicable.

3. SERVICE STANDARDS

Astute is committed to:

- Resolving client complaints in a manner which Astute believe is fair to our clients, our business and our staff.
- Ensuring that clients have full knowledge of the procedures established for internal resolution of their complaints, details of which will be given to them in writing.
- Ensuring easy access to our complaint's resolution facilities; by way of post, telephone or email.
- Employing and empowering properly trained people in our business to deal with complaints, as well as with the escalation of serious non-routine complaints.
- Dealing with complaints in a timely and fair manner, with each complaint receiving proper consideration in a process that is managed appropriately and effectively.
- Offering full and appropriate redress in all cases where a complaint is resolved in favour of a client.
- Informing clients of their right to refer their complaints to the applicable regulatory body should a complaint not be resolved to their satisfaction.
- Maintaining records of all complaints received for a period of 5 years, which will specify whether or not complaints were resolved.
- Implementing follow-up procedures to:
 - Ensure the avoidance of occurrences giving rise to complaints and
 - Improve services and complaint systems and procedures where necessary

4. DEFINITION OF A COMPLAINT

Complaint means a specific complaint relating to the service rendered to the client, alleging that Astute:

- Contravened or failed to comply with a provision of the service and that, as a result, the client has suffered or is likely to suffer prejudice or damage.
- Wilfully or negligently rendered a service to the client which has caused prejudice or damage to the client or which is likely to result in such prejudice or damage; or
- Treated the client unfairly

5. PROCEDURE

Complaints Process:

- Details of the complaint is recorded by the Service Desk Agent who first speaks with the Client making the complaint via telephone on 0861 127 8883 or a written complaint may be sent to support@astutefse.com . We also request that the client submit any supporting documentation with the written complaint.
- If a complaint is not in writing, ask the client to lodge the complaint in writing.
- Acknowledge receipt of the complaint in writing within 5 days of receipt and give the client the names and contact details of the staff responsible for the resolution of the complaint.
- Investigate the complaint to ascertain whether the complaint can be resolved immediately.
- If the complaint can be resolved immediately, take the necessary action and advise the client accordingly.
- If the complaint cannot be resolved immediately it must be escalated to the Client Support Manager and/or Operations Manager with the relevant expertise and experience to resolve the matter as soon as possible or within 2 business days of receiving the complaint.
- Where the complaint implies serious misconduct or where a client is not satisfied with the outcome provided by the Client Support Manager and/or Operations Manager, the matter will be referred to the ASTE FSE Executive team for further investigation and can be directed in writing to compliance@astutefse.com . The Astute FSE Executive team will then investigate the case lodged and contact the client directly for further engagements. This process can take up to 5 working days due to the investigation time required.
- All complaints will be closed both telephonically and in writing and the client will acknowledge acceptance of the resolved/closed complaint.

Contacts

Service Desk

+27 86 127 8883
+27 11 214 0903
+27 86 670 0041
support@astutefse.com

Accounts/Finance

+27 11 214 0900
+27 86 670 0041
support@astutefse.com

Compliance

+27 11 214 0918
+27 86 683 2335/+27 86 686 6121
compliance@astutefse.com

Address

Building 2, Corporate Campus
74 Waterfall Drive
Waterfall City
Waterfall
2090



www.astutefse.com