

A person is seen from behind, sitting in a black armchair with a white backrest. They are positioned in a modern office space with large, multi-paned windows that offer a view of a city skyline. To the left of the person is a large potted plant with long, green fronds. The overall atmosphere is bright and professional.

**access2markets**

# COMPLAINTS PROCEDURE

Access2Markets (Pty) Ltd is an authorised Financial Services Provider registered with the Financial Sector Conduct Authority (FSP 47076) in South Africa. Access2Markets (Pty) Ltd does not offer advisory, portfolio management, or execution services and does not act as a market maker. Our role is strictly limited to marketing and intermediary services.

All client accounts, trades, and transactions are exclusively conducted with AT Global Markets SA (Pty) Ltd, an authorised Financial Services Provider (FSP 44816) and licensed Over-the-Counter Derivatives Provider (ODP) under South African law. AT Global Markets SA acts as the principal and counterparty to all transactions. Access2Markets (Pty) Ltd will not issue financial products or provide execution or dealing services.

[WWW.ACCESS2MARKETS.CO.ZA](http://WWW.ACCESS2MARKETS.CO.ZA)

## **COMPLAINTS PROCEDURE**

### **Complaint has to be in writing**

In order for a complaint to receive the attention that it deserves, we request that your complaint is submitted to us in writing. Please ensure, that where the complaint is delivered by hand or by any other mean, that you retain proof of delivery. A complaint can be sent to [complaints@access2markets.co.za](mailto:complaints@access2markets.co.za)

### **Complaint has to be relevant**

The financial services environment is complex. We will endeavour to address all reasonable requests from our clients but may also refer you to a more appropriate facility. Where the complaint pertains to any aspect of our service, or any disclosures that ought to be made by us, we will endeavour to address those complaints in writing, within 7 working days.

In instances where the complaint pertains to something not within our control, we will forward the complaint to the relevant person concerned.

### **Procedure**

The following is a guideline of how a complaint will be dealt with by us:

1. The complaint will be lodged in our complaints register on the same day that it is made. Receipt of the complaint will be forwarded to you.
2. The complaint will be brought to the attention of the Key Individual who will allocate it to the appropriate skilled and trained person.
3. The complaint will be investigated, and we will endeavour to revert to you with our findings in writing within 7 working days, but not later than 6 weeks of the date of receipt of the initial complaint. Any delays will be communicated to you.
4. In the event that you are not satisfied with our response, you may refer the complaint to the owner of our business. The owner may amend the solution or confirm it. In some cases certain decisions may need to be approved by a Board or Management Committee. In such a case, we will communicate to you a date on which a decision will be taken.
5. If, after having referred the complaint to the owner, you are still not satisfied with the outcome, we will regard the complaint as being unsatisfactorily resolved. In such case you may approach the office of the Ombud for Financial Services Providers or take such other steps as may be advised by your legal representatives. The referral to the Ombud must be done in accordance with the FAIS Act and rules promulgated at the time.
6. You must, if you wish to refer a matter to the Ombud, do so within a period of six months. The Ombud will not adjudicate in matters exceeding a value of R3 500 000.00
7. The Ombud may be contacted at [info@faisombud.co.za](mailto:info@faisombud.co.za) or 0860 663 247

8. In the event of us not reverting to you within the time periods indicated above, kindly contact Victoria Mnguni on +27 31 832 0310 for an explanation as to why we have not communicated with you.