

AYLETT & CO. COMPLAINTS PROCEDURES:

Revised: October 2018

Complaints register

(See 18 Gen Code)

All complaints with respect to Aylett & Co. will be kept in the complaints register into which every complaint is entered, and must contain:

- Client name,
- When the complaint was received,
- Reason for complaint,
- How and when the complaint was resolved,
- Or, reasons why the complaint was not resolved and management committee's intended action.
- All correspondence of the complaint must be kept for 5 years,
- Records and reasons of non-compliance must also be kept.

Complaints

(Sec 16 to 19 of Gen. Code)

[Aylett & Co. employees and management must follow and comply with the procedure as outlined in section (B-5.1) under record keeping]

Complaints Procedure consists of:

1. Written Complaint needed:

Immediately inform client that complaint must be lodged in writing, contain all relevant information and copies of relevant documentation.

2. Acknowledge within 24 Hrs:

Aylett & Co. must respond within 24 hours acknowledging receipt of the written complaint.

3. Investigate Facts:

Upon receipt of the written complaint the designated employees of Aylett & Co. must immediately begin investigation into the complaint and collect all the applicable facts necessary for them to assess the complaint objectively, considering the client, company and staff involved.

4. Elevate if Need be:

All complaints of a routine nature are to be handled by the relevant staff dedicated to the process, if need be the complaint is of a non-routine serious nature it must be elevated to the relevant personnel trained to deal with it.

5. Make Decision:

Upon collection of the facts, the complaint must be assessed by the management committee and a decision made as to the resolution, without undue delay.

6. Initiate Procedures:

Avoid recurrence of similar problems by initiating necessary procedures at this point to prevent similar complaints in future.

7. Inform Client:

The client must be informed in writing of the proposed resolution.

8. Act on resolution:

Upon agreement of this resolution from the client (must be received in writing), the resolution can then be acted upon.

9. Dissatisfied Client:

If client is dissatisfied with the resolution they must be informed in writing that they may contact the Ombud at the following address:

Physical Address:	Postal Address:	Customer Contact
FAIS Ombud Baobab House, Eastwood , Office Park Lynwood Road, Pretoria	P.O.Box 74571 Lynwood Ridge, 0040	Division: 0860FAISOM (086 032 4766) Telephone: +27 12 470 9080 Facsimile: + 27 12 348 3447 E-mail address: info@faisombud.co.za Website: www.faisombud.co.za

(From the FAIS Ombud web page: <http://www.faisombud.co.za/>)

10. Follow up:

The allocated staff member must follow up the complaint between one week and one month (situation dependant) after resolution to ensure the resolution was carried out sufficiently and the client is no longer aggrieved.

11. Client Redress:

In any case where a complaint is resolved in favour of a client, Aylett & Co. must ensure that a full and appropriate level of redress is offered to the client without any delay.

12. All correspondence of the complaint must be kept for 5 years.

13. Records and reasons of non-compliance must also be kept.

Basic principles of systems and procedures

Aylett & Co. must maintain an internal complaint resolution system and procedures based on the following:

- (a) **Maintenance** of a comprehensive complaints policy outlining Aylett & Co.'s system, procedures and commitment to an internal resolution of complaints (this must be compiled in written format and amendments made in writing);
- (b) **transparency and visibility:** ensuring that clients have full knowledge of the procedures for resolution of their complaints;
- (c) **accessibility of facilities:** ensuring the existence of easy access to such procedures at any office or branch of the provider open to clients, or through ancillary postal, fax, telephone or electronic helpdesk support; and
- (d) **fairness:** ensuring that a resolution of a complaint can during and by means of the resolution process be effected which is fair to both clients and the provider and its staff.

Staff Training in terms of Complaints:

All members of staff that deal with complaints and management individuals that review these need to be sufficiently educated to fully understand the relevant acts in order to formulate resolutions to the relevant complaints and establish adequate procedures to avoid future occurrences.

Management committee needs to review complaints register at monthly meetings and formulate procedures to ensure there are no further occurrences of issues that could give rise to additional complaints or that could otherwise be avoided.