Revolve Consulting (PTY) Ltd

FSP

The Purpose of a Complaints Policy

Revolve Consulting (hereinafter referred to as Revolve) is an authorised financial services provider licensed in terms of the Financial Advisory and Intermediary Services Act (FAIS). This legislation requires that all FSPs maintain an internal complaints resolution system and procedure if a complainant complains about the brokerage/representative service rendered by Revolve.

This document explains the procedure should you wish to complain about any of the financial services rendered by our business and sets out the process that our business will follow to resolve the complaint.

We are aware of Treating our Customers Fairly and this complaints policy deals with one of the six outcomes.

What complaints are dealt with in terms of FAIS

A complaint is defined in the FAIS Act as a specific complaint relating to brokerage or intermediary services rendered by the FSP or its representatives, either rendering intermediary or advisory services, and where the complainant alleges that the FSP:

- has contravened a provision of the FAIS Act and as a result, the complainant has suffered neglectful services or is likely to suffer financial prejudice or damage.
- has willfully or negligently, rendered a brokerage service to the complainant which has caused, or is likely to cause prejudice or damage to the complainant; or
- has treated the complainant unfairly.

How to submit a complaint

If a complainant has a complaint against our business, it must be submitted to Revolve in writing. It can be submitted either by hand, post, or email to Revolve, and contact details appear below.

The complaint should contain sufficient detail regarding:

- The full names, ID/registration number, and contact details of the complainant
- The full name, ID/registration number, and contact details of the client (if different from the complainant)
- Full details of the transaction where applicable
- Specific details about the nature of the complaint, which would include sufficient facts, dates and supporting documentation to enable Revolve to deal with the complaint quickly and fairly.

What will happen once a complaint is made

- We will acknowledge receipt of the complaint in writing to the complainant as soon as possible after it has been received
- Once the complaint has been made, it will be allocated to an appropriate staff member to investigate
- As required by legislation, we will attempt to resolve the complaint within six weeks of receipt of the complaint
- In event that the complaint cannot be resolved, we will advise the complainant in writing of the reasons why the complaint could not be resolved and what further steps are available to the complainant
- We will keep a record of the complaint and maintain such a +record for five years from the date of the last transaction as required by legislation
- The complaint will be referred to the Key Individual or other authorised senior manager Revolve, who is skilled and empowered to deal with complaints.

Our commitment

Our policy is to:

- Be committed to resolve complaints by means of a fair and practical resolution process
- Take steps to investigate and respond promptly to the complaint
- Deal with complaints in a timely and fair manner, with each complaint receiving due consideration in a process that is managed appropriately and effectively
- Ensure that a full and appropriate level of redress is offered to the complainant, without delay, where the complaint is resolved in favour of the complainant.

If the complaint is not resolved to the complainant's satisfaction

Legislation requires us to advise the complainant in writing within six weeks of receiving the complaint if the complaint cannot be resolved and the reasons why the complaint could not be resolved. In the event that the complaint cannot be resolved, the complainant may have recourse to the following, whichever is applicable:

- Refer the matter to the FAIS Ombud within six months of notification that the claim cannot be resolved or within six months of the FSP's failure to deal with the claim
- Seek legal advice from an attorney regarding any legal action that may be taken
- Refer the matter to arbitration or mediation

Should there be any further questions or concerns, please do not hesitate to contact:

Justin Hughes (Director)
Email: jusitn@revolveconsulting.co.za
Cell: 066 075 3748

Contact details of the FAIS OMBUD

- Telephone: 012 762 5000 / 012 492 9711 / 0860 066 3274
- E-mail Address: info@faisombud.co.za
- Post Office Box: PO Box 74571, Lynnwood Ridge, 0040
- Physical address: 11th Floor, Menlyn Central Office Building,
  125 Dallas Avenue, Waterkloof Glen, Pretoria, 0001
- Website: www.faisombud.co.za