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i. Introduction

Financial Advisory and Intermediary Services Act (“FAIS”)

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. Purple Group Limited (“Purple”) and its subsidiaries, First World Trader (Pty) Ltd trading as EasyEquities, GT247 (Pty) Ltd trading as GT247.com and Emperor Asset Management (Pty) Ltd are 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 may be lodged by you against Purple or any of its representatives if you have:

- a) Been treated unfairly and suffered prejudice or damages as a result of Purple or its representative failing to comply with the provisions of FAIS.
- b) Suffered prejudice or damages as a result of the wilful or negligent financial service rendered by Purple or its representative

How to complain – the first step

1. It is advisable to complain to Purple or its representative first.
 - (a) Phone – +27 (0) 87 940 6000
 - (b) Email – info@purplegroup.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 can help you fill the form in. Alternatively, our client relations can send the form to you.

Executive Directors: • **Charles Savage**/CEO • **Gary van Dyk**/CFOO Non-Executive Directors • **Mark Barnes**/Chairman • **Ronnie Lubner** • **Dennis Alter** • **Craig Carter** Company Secretary: 4 Africa Exchange Registry (Pty) Ltd (“4AXR”)

• **Website:** www.purplegroup.co.za • **Telephone:** 087 940 6000 • **Address:** 16th Floor, 25 Owl Street, Auckland Park, Johannesburg, 2092 • **Postal Address:** PO Box 411449 Craighall 2024

• **Registration Number:** 1998/013637/06. Formerly known as Purple Capital Limited



3. Our complaint form:
Complainant needs to sign the complaint form and return 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 Purple's Compliance Officers.

Receipt of the complaint

Once you have lodged your complaint we will:

- Acknowledge receipt of the complaint in writing
- Investigate the complaint in a timely and fair manner
- Respond in writing to you with the outcome of our investigation
- Should we fail to resolve your matter within 6 (six) weeks, you may refer your complaint to the FAIS Ombudsman

iii. Other Ombudsman and Regulatory Contact Details

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



FAIS Ombudsman

PO Box 74571
Lynwood Ridge
Pretoria
0040

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

E-mail Address: info@faisombud.co.za

Website: www.faisombud.co.za



The National Consumer Commission

PO Box 36628
Menlo park
0102

Telephone: +27 12 428 7000

E-mail Address: complaints@thncc.org.za

Website: www.thncc.gov.za

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COMPLAINTS FORM

Details of Complainant:

Title:	
First Name:	
Surname:	
ID/Passport Number:	
Address:	

Telephone No.:	Post code:
E-mail address:	Cell phone No. :

Details of the complaint (including account details):

Preferred resolution:

Signed: _____ Dated: _____
(To be signed by the person making the complaint)

Print name: _____

Please send the completed form to First World Trader Client Relations Department at info@purplegroup.co.za

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