

COMPLAINTS RESOLUTIONS PROCEDURE:  
STOCKBROKING



**1. Definition of a compliant**

A complaint in relation to the provision of regulated services, in which the client alleges that he has suffered, or is likely to suffer, financial prejudice as a result of the PSG Securities or Fixed Income and Commodities as a JSE members-PSG Securities Ltd;

- 1.1** contravening or failing to comply with any instruction given by the client, or any agreement for mandate entered into with the client;-
  - 1.2** contravening or failing to comply with the rules and the directives;
  - 1.3** acting dishonestly, negligently or recklessly; or
  - 1.4** treating the client unreasonably or unfairly.
- 2.** Your complaint can be written (via email to [PSG.Securitiescompliance@psg.co.za](mailto:PSG.Securitiescompliance@psg.co.za)) or oral (all telephone conversations are recorded) and we will investigate the complaint. In terms of the Group client complaints policy we will revert to you within 5 days after receipt of the complaint and advise if the complaint can easily be resolved or whether it is referred to another person with the necessary expertise to deal with the complaint appropriately.
- 3.** Your complaint will be resolved within 4 weeks from date of lodgement and if we cannot resolve it within that time we will give sufficient reason for not being in a position to do so.
- 4.** If you are not satisfied with the resolution the JSE Rule 11.70 will be apply and disputes over R2 000.00 will be referred to the JSE for dispute resolution. The JSE may appoint an Ombud to consider a dispute within three weeks from receipt of all the documentation on which the complaint is based.
- 5.** All complaints will be kept for at least 5 years from date of lodgement.
- 6.** The complete JSE complaints and disputes procedure can be found on the JSE website at: [www.jse.co.za](http://www.jse.co.za) under Market Regulation, JSE Equity Rules and specifically Section 11 of the Rules.