



# Neex (Pty) Ltd Complaints Handling Policy

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## Complaints Handling Policy

At Neex, we value our customers and strive to provide exceptional service. However, we understand that sometimes issues may arise, and we want to ensure that we address them promptly and fairly. This policy outlines our approach to handling complaints and concerns, ensuring that we maintain a positive and respectful relationship with our customers while meeting all regulatory requirements under the Financial Advisory and Intermediary Services Act.

## Responsible Person

The Head of Compliance serves as our designated Complaints Officer, responsible for overseeing complaint resolution and reporting to the Board of Directors quarterly on all complaint matters.

## Initial Contact

If you have any reason to feel dissatisfied with our service, please contact our Customer Support Team through our website, by sending an email to [support@neex.com](mailto:support@neex.com), or liaise with your dedicated Client Relationship Manager. They will listen to your concerns, provide a prompt response, and work with you to find an amicable solution.

For formal complaints, you may also:

- Email directly to: [complaints@neex.com](mailto:complaints@neex.com)
- Call: +27 10 140 3074

Write to: 146 Sandton Drive, Parkmore, Gauteng, P.O. Box 2196, South Africa.

We will acknowledge your complaint in writing within one business day and provide you with a unique reference number for tracking purposes.

## Investigation and Resolution

We will investigate your concern thoroughly, gathering all relevant information and evidence. Our team will then work with you to identify the root cause of the issue and develop a plan to resolve it.

For straightforward matters that can be resolved within three business days, we will send you written confirmation of the actions taken. For more complex complaints, we commit to:

- Keeping you informed with updates at least every 10 business days
- Completing our investigation within 40 business days
- Providing a comprehensive written response detailing our findings and any remedial actions

Once the issue is resolved, we will ensure that the necessary steps are taken to prevent similar issues from arising in the future. We will also follow up with you to ensure that you are satisfied with the outcome and to gather feedback on our service. We are committed to continuous improvement and use customer feedback to identify areas for improvement.

## Compliance Intervention

In the unlikely event that you are still dissatisfied with how your concern was addressed, you may refer your case to our compliance department's complaints officer by writing an email to [complaints@neex.com](mailto:complaints@neex.com). Please provide all details regarding your complaint, in addition to stating the reason you are dissatisfied with the initial investigation and resolution.

The compliance department will conduct a full impartial review of the complaint to assess if we have acted fairly within our rights and whether we have met our contractual obligations towards you. This review will be completed within 15 business days. In the scenario that a situation arises that is not covered by our customer agreement, we will resolve this matter on the basis of good faith and fairness.

## External Recourse – FAIS Ombud

If you remain dissatisfied after our final response, or if we have not resolved your complaint within six weeks, you have the right to approach the Office of the Ombud for Financial Services Providers (FAIS Ombud):

FAIS Ombud Contact Details:

- PO Box 74571, Lynnwood Ridge, 0040
- Phone: 086 032 4766 or +27 12 470 9080
- Email: [info@faisombud.co.za](mailto:info@faisombud.co.za)
- Website: [www.faisombud.co.za](http://www.faisombud.co.za)

Please note that the FAIS Ombud will not consider your complaint unless you have first given us the opportunity to resolve it.

## Record Keeping and Monitoring

All complaints are logged in our Complaints Register and records are maintained for seven years as required by regulation. This includes all correspondence, investigation notes, and resolution details.

We monitor complaint trends monthly and report quarterly to our Board of Directors on:

- Number and types of complaints received
- Resolution timeframes and outcomes
- Identified trends and systemic issues
- Improvements implemented based on complaint analysis

## Our Commitment

We are committed to:

- Treating all complainants fairly and without prejudice
- Maintaining confidentiality throughout the process
- Not charging any fees for complaint handling
- Using complaints as opportunities for improvement
- Ensuring all staff are properly trained in complaint handling procedures

This policy is reviewed annually to ensure continued effectiveness and regulatory compliance.