



**GLOBAL & LOCAL FINANCIAL CONSULTANTS (PTY) LTD**

Registration no : 2005/029736/07

VAT no : 4220193488

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## Complaints Resolution Procedure

Prepared by:  
Oracle Compliance



**Effective From:**

22<sup>nd</sup> July 2013

Director : Michael Haldane  
Email : [michael@globallocal.co.za](mailto:michael@globallocal.co.za)

We are an authorised financial services provider – FSP No 1644

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## 1. Process

Should you feel that any representative of the Global & Local has contravened or failed to comply with a provision of this Act, and that as a result thereof you have suffered or are likely to suffer financial prejudice or damage; or if any representative of Global & Local has willfully or negligently rendered a financial service to you which has, or is likely to cause prejudice or damage to you; or where you believe you have been treated unfairly, you have the right to complain.

### 1.1. First Step in Process

1.1.1 Your complaint must be lodged in writing with the compliance officer of Global & Local, Mr. Leonardo d'Onofrio. He can be contacted of [leonardo@oraclecompliance.com](mailto:leonardo@oraclecompliance.com) or on 011 325 4908.

1.1.2 The Compliance Officer must acknowledge receipt of your complaint in writing to you.

1.1.3 The Complaint must be recorded into a "complaints register" at Global & Local(all relevant facts and supporting documentation must be kept on record too).

1.1.4 The complaint must be resolved within six (6) weeks of receipt.

### 1.2. Second Step in Process

Should you not be entirely satisfied with the resolution of the complaint you may now complain to the **Ombud for Financial Services Providers**. The Office of the Ombud will not investigate a complaint unless it has been lodged with the Compliance Officer of the Financial Services Provider first.




### **1.3 Ombud Contact Details**

Toll free no: 0860FAISOM (0860324766)  
Telephone: +27 12 470 9080  
Facsimile: + 27 12 348 3447  
E-mail address: info@faisombud.co.za  
Website: www.faisombud.co.za  
Postal Address: 175 Barry Hertzog Avenue Emmarentia 2195  
South Africa

**This complaints procedure refers to complaints posed by clients of both Global & Local Financial Consultants (Pty) Ltd (FSP 1644) and Global & Local Investment Advisors (Pty) Ltd.**

**This procedure has been ratified and confirmed by the following 2 members of the above companies management which also service as the companies Key Individuals:**



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**Michael Philip Adam Haldane**  
B.Com (Hons)  
Managing Director  
Global & Local Consultants (Pty) Ltd.  
Global & Local Investment Advisors (Pty)  
Ltd.



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**Mauro Angelo Forlin CFP**  
(N.Dip)(CAAUT)(MIFM)  
General Manager/Director  
Global & Local Consultants (Pty) Ltd.  
Global & Local Investment Advisors (Pty)  
Ltd.