



ALI FUND
MANAGERS

Ali Fund Managers Pty Ltd

Complaints Management

Policy

June 2025

Complaints Management Policy

At **Ali Fund Managers Pty Ltd (AFM) (FSP No. 54032)**, we are committed to maintaining the highest standards of professionalism and client service. As a provider of Contracts for Difference (CFDs) and other derivative products, we take all client concerns seriously and are committed to resolving complaints fairly, efficiently and transparently in line with our obligations under the **Financial Advisory and Intermediary Services Act (FAIS)** and the standards set by the **Financial Sector Conduct Authority (FSCA)**.

Purpose

This policy outlines how we manage complaints and disputes received from clients. Our objectives are to:

- Acknowledge and resolve complaints promptly
- Investigate complaints fairly and independently
- Identify and address the root causes of complaints to improve our service

What Is a Complaint?

In line with FAIS and FSCA guidance, we define a complaint as:

Any expression of dissatisfaction relating to a financial product, service, advice, representative, or aspect of our business, where a response or resolution is reasonably expected.

This includes dissatisfaction about how a previous complaint was handled.

How to Lodge a Complaint

You may contact us to raise a complaint using any of the following methods:

- **By email**
- **By telephone**
- **By post**
- **Through our website contact form**

To help us address your complaint efficiently, we recommend that you:

- Notify your AFM Account Manager or our Client Support team as soon as possible
- Include your full name, contact details, client or account number (if applicable), and a clear description of the issue

- Provide any relevant documents or evidence
- Let us know how you'd prefer us to contact you

Our Complaint Handling Process

1. Acknowledgment

We will acknowledge your complaint in writing within **2 business days** of receiving it.

2. Assessment & Investigation

Your complaint will be reviewed by a trained representative who was **not directly involved** in the matter. We may request additional information to ensure a fair and thorough investigation.

3. Resolution Timeline

We aim to resolve complaints within **15 business days**. If more time is needed (e.g., due to technical complexity or third-party involvement), we will:

- Notify you of the delay
- Provide progress updates
- Resolve the complaint no later than **30 business days** from the date of receipt

If you are not satisfied with the outcome or how your complaint has been handled, you may request an **escalation to our Compliance Officer or AFM Management**. The matter will be reassessed, and you will receive a formal written response outlining our final position.

If You Remain Dissatisfied – FAIS Ombud

If you are not satisfied with our final response, you may refer your complaint to the **FAIS Ombud**, provided you do so within **six (6) months** of receiving our final decision.

FAIS Ombud Contact Details:

Website: www.faisombud.co.za

Email: info@faisombud.co.za

Phone: 0860 324 766 or +27 12 762 5000

Address: FAIS Ombud Office, Pretoria, South Africa

The FAIS Ombud is an independent and free service for clients who wish to resolve disputes with financial services providers.



Contact Us

If you have any questions or need further assistance, you may contact us using the details below:

Ali Fund Managers Pty Ltd (AFM)

Address: 1 Hood Avenue, Rosebank, Johannesburg, Gauteng 2196 South Africa.

Email: support@alifund.co.za

Website: www.alifund.co.za