

Client complaint procedure

A copy of the internal complaint handling procedure may be requested at any time from any of the company's traders, either telephonically or via email. Alternatively, it can be requested from the chief operating officer at (021) 976 7172 or via email at chrizelle@bsec.co.za

Any complaint, in which the client alleges that he/she has suffered or is likely to suffer financial prejudice as a result of BSEC Derivative Brokers (PTY) LTD:

- contravening or failing to comply with any instruction given by the client, or any agreement or mandate entered into with the client;
- contravening or failing to comply with the JSE rules and the directives; – acting dishonestly, negligently, or recklessly; or
- treating the client unfairly; in relation to the provision of services to the client in terms of derivative rules.

A written response containing details of the resolution reached, should be sent to the client will be given within 4 weeks, after which the coo will determine from the client whether the issue has been resolved.

If a complaint cannot be resolved, a letter should be sent to the client informing him/her thereof. The client should also be advised that he/she may lodge a complaint with the director: JSE surveillance at surveillance@jse.co.za.

Should the director: surveillance not be able to resolve the complaint it will be referred to an ombudsman whose decision will be final.

For more detailed information regarding the process please go to:
www.jse.co.za/content/jserulespoliciesandregulationitems/derivativesrules.pdf