



**CRATOS ASSET
MANAGEMENT**
INNOVATIVE WEALTH CREATION

COMPLAINTS RESOLUTION POLICY

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INTRODUCTION

1. Cratos Asset Management Pty Ltd (The “FSP” or “CAM” hereafter) is a private company registered in the Republic of South Africa under registration number 2014/201224/07. CAM is a registered Financial Services Provider (FSP no. 46597) and SARB-registered institutional investor, offering bespoke investment solutions, across a broad array of asset classes, to its private client and institutional client base.
2. As a Financial Services Provider authorized by the Financial Sector Conduct Authority (“FSCA”), CAM offers financial services including Category I and II financial products not limited to but including investment products and options in South Africa, and across global exchanges.
3. CAM’s head office is located at 57 Smits Road, Dunkeld, Johannesburg. The current board members are Gary Cahn, Dave Smyth and Desmond Esakov and Clinton Banducci is a Key Individual of the FSP, alongside Dave Smyth. The rest of the team is comprised of portfolio managers, brokers, administrators and support staff.

PROCESS

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

FIRST STEP IN THE PROCESS

5. Your complaint must be lodged in writing with the Compliance Officer of CAM, Mr Leonardo D’Onofrio.
6. Mr Leonardo D’Onofrio can be contacted at leonardo@oraclecompliance.com or on 011 100 2551.
7. The Compliance Officer must acknowledge receipt of your complaint in writing.
8. The complaint must be recorded in a “Complaints Register” at CAM (all relevant facts and supporting documentation must be kept on record too).
9. The complaint must be resolved within six (6) weeks of receipt.

SECOND STEP IN THE PROCESS

10. If you are not entirely satisfied with the resolution of the complaint, you may then 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.

OMBUD CONTACT DETAILS

- | | |
|---------------------|--|
| 11. Toll free no: | 0860 FAISOM (0860 324766) |
| 12. Telephone: | +27 12 470 9080 |
| 13. Facsimile: | + 27 12 348 3447 |
| 14. E-mail address: | info@faisombud.co.za |
| 15. Website: | www.faisombud.co.za |
| 16. Postal Address: | P.O.Box 74571, Lynnwood Ridge, 0040 |

AUTHORITY AND MANDATE

17. The Complaints Resolution Policy is approved by way a resolution of CAM’s Directors. The Directors are responsible for the adherence to and implementation of the Policy throughout the organization.

Sign off



Name: David Smyth

Date: 16 February 2023

Position: Key Individual