



KGORI CAPITAL
INVEST WITH PRIDE

COMPLAINTS PROCEDURE

The following complaints handling procedure has been endorsed by the Board of Directors of Kgori Capital (Pty) Ltd. This procedure is in line with international best practices and is complaint with NBFIRA regulations relating to the resolution of Complaints.

This document aims to provide all complainants with comprehensive guidance on the internal complaint settlement procedure that will enable the resolution of any issue raised by any complainant.

Complaint Definition

A specific complaint relating to a financial service rendered by a financial services provider or representative to the complainant and in which complaint it is alleged that the provider or representative-

- (a) has contravened or failed to comply with a provision of this Act and that as a result thereof the complainant has suffered or is likely to suffer financial prejudice or damage;
- (b) has wilfully or negligently rendered a financial service to the complainant which has caused prejudice or damage to the complainant or which is likely to result in such prejudice or damage;
- (c) Has treated the complainant unfairly.

Complaint Recipient Details

If you wish to make a complaint about our service to you, please write and hand deliver to us at the following address:

The Compliance Manager
Kgori Capital (Pty) Ltd
Plot 54351, 1st Floor, Exponential Building,
CBD, Gaborone, Botswana

Alternatively, you can also email your complaint to:

kccompliance@kgoricapital.com

Complaint Handling Procedure Flow

Step1

Complaint received by Kgori Compliance and immediately forwarded to the Chief Operations Officer for logging in the complaints register.

Step2

Kgori Management acknowledges the formal complaint within 24 working hours through email or letter to the client.

Step3

Kgori Compliance will carry out an investigation to establish the facts related to the complaint. Compliance may require additional information to ensure all the facts are available to determine an amicable resolution.

Step4

Management receives the investigation findings and determines a fair resolution to the complaint.

Step5

Management sends a written response regarding the complaint is sent to the client within 5 days.

Step6

If you have any further issues, please contact us again. If we have not heard from you within 4 weeks after we have provided our final response, we will consider the complaint resolved.

Note: If your complaint cannot be resolved within the stipulated 5 working days, you will be notified of the delay and expected completion date thereof.

Escalating Your Complaint Internally.

If there is no response from the office within 5 working days after submitting your complaint or no communication regarding an extension, contact our Managing Director on +267 3992404 between 09:00 and 17:00 hours during weekdays.

Email to andzing@kgoricapital.com

Escalating Your Complaint Externally.

If you are unhappy with our response, you may escalate your complaint to:

Non-Bank Institutions Regulatory Authority (NBFIRA)

3rd Floor Exponential Building,

Plot 54351, CBD

Private Bag 00314, Gaborone

T +267 3102595 / 3686100