



COMPLAINTS GUIDE

HOW TO SUBMIT A COMPLAINT

If you wish to submit a Complaint please direct your Complaint, in writing, to the Peregrine Compliance Officer at complaints@peregrine.co.za and include all the relevant information.

The points below provide a guide to the Complaints Management Framework.

1. Responsibilities Relating to the Complaints Guide

1.1. Client responsibilities

- 1.1.1. Inform us of your complaint, in writing, as soon as is reasonably possible; and
- 1.1.2. Provide us with all information relating to your complaint (nature of the complaint, which would include sufficient facts, dates and supporting documentation) to enable us to investigate the Complaint.

1.2. Peregrine's responsibilities

- 1.2.1. We will acknowledge receipt of the Complaint;
- 1.2.2. Provide you with the contact details of the person who will deal with the Complaint;
- 1.2.3. Endeavour to provide you with a time frame within which it is likely to complete its investigation into the Complaint but, depending on the complexity of the Complaint, this may not always be possible;
- 1.2.4. The Compliance Officer may ask for additional information if required;
- 1.2.5. We will carry out a full investigation of the Complaint and try to resolve it in a fair manner;
- 1.2.6. Keep you informed of the progress of your Complaint; and
- 1.2.7. Formally communicate the finding to you in writing.

2. Client's right to escalate their Complaint

2.1. Escalate your complaint to the Peregrine internal Complaints Adjudicator if you are dissatisfied

- 2.1.1. If the Complaint has not been resolved to your satisfaction, you may request, in writing, the Compliance Officer to refer it to the Peregrine Capital internal Complaints Adjudicator ("Complaints Adjudicator"), an impartial person designated to investigate disputes between dissatisfied clients and Peregrine;
- 2.1.2. The Complaints Adjudicator will acknowledge receipt of the Complaint;
- 2.1.3. Provide you with their contact details;
- 2.1.4. Endeavour to provide you with a time frame within which the referral is likely to be completed; and
- 2.1.5. Formally communicate the finding to you in writing.

3. Client's right Complaint to the external FAIS Ombud or the Authority if you are still dissatisfied

If the Peregrine internal Complaints Adjudicator's decision also does not satisfy you, you may send your Complaint to the FAIS Ombud within 6 (six) months after receiving the final response from Peregrine.

4. The FAIS Ombud will not consider your Complaint in the following circumstances:

- 4.1. If the amount claimed is greater than R3 500 000.00, unless you as the Complainant abandon the amount in excess of R3 500 000.00 to bring your claim within the jurisdictional limits of the FAIS Ombud;
- 4.2. If the Complaint relates to an act or omission which occurred prior to the date of commencement of the Ombud Council Rules for the Ombud for Financial Services Providers, 2024 or the previous Rules on Proceedings of the Office of the Ombud for Financial Services Providers, 2003, as amended;
- 4.3. If the matter, before the date of receipt of the Complaint by the FAIS Ombud, or during an investigation of the FAIS Ombud, is referred to proceedings in a court of competent jurisdiction; and
- 4.4. If the Complainant became aware, or could reasonably have been expected to become aware, of the act or omission giving rise to the Complaint more than three (3) years prior to the date on which the Complaint is received by the FAIS Ombud.

5. Details for Escalation

5.1. Contact details of the FAIS Ombud

Address	Kasteel Park, Orange Building, 2nd Floor, 546 Jochemus Street, Erasmuskloof, Pretoria, 0048.		
Postal Address	PO Box 74571, Lynwood Ridge, 0040		
Telephone No.	+27 12 762 5000 +27 12 470 9080 086 066 FAIS (3247)		
Facsimile No.	+27 86 764 1422 +27 12 470 9097 +27 12 348 3447/9		
E-mail address	info@faisombud.co.za	Website	www.faisombud.co.za

- 5.2. Should the Complaint be related to Peregrine Capital Collective Investments, and the Peregrine internal Complaint Adjudicator's decision does not satisfy you, you may address the Complaint to the Authority within 6 (six) months after receiving the final response from Peregrine Capital Collective Investments.

Contact details of the Authority

Address	41 Matroosberg Rd, Ashlea Gardens, Pretoria, 0002		
Postal Address	P.O. Box 35655, Menlo Park, 0102		
Telephone No.	+27 12 428 8000 0800 20 37 22		
Facsimile No.	+27 12 346 6941		
Email address.	info@fsca.co.za	Website	www.fsca.co.za