



CRATOSCAPITAL
INNOVATIVE WEALTH CREATION

www.cratoscapital.co.za

COMPLAINTS RESOLUTION POLICY

DATE OF COMPILATION: 16/09/2022

DATE OF REVISION: 13/09/2024

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57 Smits Road, Dunkeld
Johannesburg 2196

An authorised financial services provider (41963) Directors: CL. Banducci, AJ Gray

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INTRODUCTION

1. Cratos Capital Pty Ltd (The “FSP” or “CRATOS” hereafter) is a private company registered in the Republic of South Africa under registration number 2009/003446/07. CRATOS is a registered Financial Services Provider (FSP no. 41963)
2. Cratos is an authorized financial services provider who provides mainly non-discretionary trading services for equities and contracts for difference products. Cratos provides the infrastructure and research and trading systems to this type of client. Cratos uses Peresec Pty Ltd (JSE member) to execute the trades and systems for record keeping and trade reporting. Cratos also provides fully discretionary portfolio services to a small number of clients.
3. As a Financial Services Provider authorized by the Financial Sector Conduct Authority (“FSCA”), CRATOS offers financial services including Category I and II financial products not limited to but including investment products and options in South Africa.
4. CRATOS’s head office is located at 57 Smits Road, Dunkeld, Johannesburg. The current directors and owners are Clinton Banducci and Andrew Gray, and they are Key Individuals.

COMPLAINTS RESOLUTION

5. If any client of CRATOS believes that any Representative or employee of CRATOS has contravened or failed to comply with any provision of the FAIS or associated Acts, and as a result has suffered or is likely to suffer financial prejudice or damage, or if any representative of CRATOS has wilfully or negligently rendered a financial service which has, or which is likely to cause prejudice or damage to that client, or where the client believes they have been treated unfairly, that client has the right to complain.
6. CRATOS subscribes to the principle of treating customers fairly (“TCF”). TCF Outcome 6 states that customers should not face unreasonable post-sale barriers when wanting to change a product, switch providers, submit a claim or make a complaint.
7. This purpose of this policy is to assist and inform clients in relation to CRATOS’s complaints process.

FIRST STEP IN THE PROCESS

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

SECOND STEP IN THE PROCESS

13. If the client is not entirely satisfied with the resolution of their complaint, that client 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.

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OMBUD CONTACT DETAILS

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

20. The Complaints Resolution Policy is approved by way of a resolution of CRATOS's board of directors. The directors are responsible for the adherence to and implementation of the Policy throughout the organization.

Sign off

Name: Clinton Banducci
Date: 13 September 2024
Position: Key Individual

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