



Financial Planning
Institute of Southern Africa
SETTING THE STANDARD

COMPAINT FORM

PLEASE COMPLETE THE DOCUMENT IN PRINT

1. Name of the person lodging the complaint

2. If you are lodging the complaint on behalf of another, please state the person or entity on behalf of whom the complaint is lodged and relationship.

3. Home address:

Telephone number:

() _____

4. Postal address:

5. E-mail

Kindly inform the Financial Planning Institute of Southern Africa of any change in your address or particulars after the lodging of this complaint as we may need to contact you during possible disciplinary proceedings.

6. Name of the person against whom the complaint is lodged

7. The following constitutes six steps that every financial planner has to follow during the financial planning process:

7.1 **Did the advisor establish and define a client-planner relationship with you?**

Yes No

Comment: _____

a) Did the financial advisor ever provide you with false or misleading information in the course or advertising, promotional activities or?

b) Did the advisor enter into the transaction with you on terms which are fair and reasonable to you?

7.2. **Did the adviser gather your data, including you goals?**

Yes No

Comment: _____

7.3 Did the advisor analyze and evaluate your financial status at that time?

Yes No

Comment: _____

- a) Did your advisor take into account risk that may influence his recommendations to you and advise you accordingly?

7.4 Did the advisor develop and present recommendations to you?

Yes No

Comment: _____

- a) Did the advisor disclose any commissions or benefits he/she may be entitled to in terms recommending products?

7.5 Did the advisor implement the recommendations he/she made to you?

Yes No

Comment: _____

- a) Did the advisor implement the recommendations illustrating diligence and competence i.e. in a prompt and thorough manner?

7.6 Did the advisor monitor the recommendations he made to you after its implementation?

Yes

No

Comment: _____

- a) Did confirm in writing to you significant instruction given by you that significantly affects the financial strategy or balance of your existing portfolio?

7. Please set out your complaint below, setting out relevant facts, dates and names. You may attach a separate page if you need more space. Please attach copies of all documents supporting the complaint. We unfortunately cannot take responsibility for the loss or return of original copies of documents submitted.

8. What is your expectation of the Financial Planning Institute of Southern Africa in your submission of this complaint?

PLEASE READ THE FOLLOWING:

This complaint may initiate disciplinary proceedings and the procedure is aimed at disciplinary action against the advisor.

Kindly take notice that the Financial Planning Institute of Southern Africa investigates the conduct of their members in terms of its Code of Ethics and Professional Responsibility. We are not able to order a defaulting member to pay any amounts for damages suffered by you.

We are, however, in a position to suspend or terminate a defaulting member's membership, order the defaulting member to pay a fine and to suspend or terminate the defaulting member's right to use our marks (the CFP[®] mark and various others).

Kindly take notice that the FPI does not have the power to:

1. Order the advisor to reimburse you; or
2. Pay any damages to you.

SIGNATURE

SIGNED ON THIS ____ DAY OF _____ 20__ AT

_____.