



# HELFIN

## FINANCIAL SERVICES GROUP

AN AUTHORISED FINANCIAL SERVICES PROVIDER

*Risk Management • Tax Consultants • Private Wealth • Accounting*

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## SERVICE LEVEL COMMITMENTS – LOCAL INVESTMENTS

### Purpose:

The purpose of this SLC is to outline the services rendered by the Helfin Financial Services Group (HFS) and to enhance the delivery thereof. To ensure that all the services will be carried out within the prescribed service parameters outlined in the table below provided that all the necessary information has been received timeously. The object of this SLC is therefore to:

- Outline services to be offered and working assumptions between HFS and its clients;
- Match perceptions of expected service provision with actual service support & delivery.
- Provide clear reference to service ownership, accountability, roles and/or responsibilities.
- Quantify and measure service level expectations;
- Outline the potential methods used to measure the quality of service provided;
- Strengthen communication between HFS, its customers, and its product suppliers;
- Provide a vehicle for resolving conflicts.

### Service Expectations

HFS Center and its clients agree to the service expectations and working assumptions listed below. These service expectations are meant to monitor the more critical elements of the services provided by HFS and are not meant to reflect a comprehensive list of financial services offered by HFS in the ordinary course of its business.

Process	Deliverables	Service Parameters (*Subject to Customer Obligations below)
New Investments	1. Prepare & communicate terms and conditions of quotation/quote comparison	Within 24 hours from receipt of request from client
	2. Prepare and communicate investment details	Communicated verbally and in writing within 1 week/5 working days from receipt from supplier.

Renewals	1. Section 14	HFS will communicate all steps during section 14 transfers within 24 hours from receipt from various stakeholders in the transfer process.
	2. Living annuities	HFS will communicate all steps during annual renewal of living annuities within 24 hours from receipt from various stakeholders in the process.
Withdrawals	Communicate withdrawal claim/progress reports regarding finalization	Proposed withdrawals will be communicated to investment supplier within 24 hours from receipt from client. Progress reports to client until finalization of claim every 3 working days.
Correspondence & communication	Response to e-mail and telephonic enquiries	Within 24 hours
	Ongoing progress reports (telephonic/e-mail)	Every 3 working days

### **Client Responsibilities:**

The client must ensure compliance with the terms & conditions of cover prescribed by relevant underwriter/product supplier. The client must provide all documentation and/or required information within a reasonable time from receipt of a request by HFS for such additional requirements.

### **Measurement of Compliance with Service Parameters:**

The calculation of HFS compliance with the service parameters outlined in the table above will only commence once the client provided HFS with all the required documentation and/or information as prescribed by the various product suppliers/underwriters and communicated to the client from time to time.

### **Escalation of Instances of Non-Compliance:**

All instances of non-compliance by HFS with the service parameters outlined in the table above must be escalated by the client as soon as possible. Queries by the client can be communicated to Mike Papageorge telephonically, via e-mail to [mike@helfin.co.za](mailto:mike@helfin.co.za), or via facsimile to 012-346-4545.

### **General:**

This SLC serves as a commitment by HFS and is not intended to be and should not be construed in any manner or form as a legally binding prescription or contractual undertaking. It is not legally enforceable and does not create any legal rights, substantive or procedural, nor impose any legally binding obligations on HFS.