

# **Ausbil Investment Management**

## **Complaints Policy**

June 2023

**ABN 26 076 316 473  
ACN 076 316 473  
AFSL 229722**

## Overview

As the holder of an Australian Financial Services License (AFSL), Ausbil's approach to resolving complaints is governed by ASIC (ASIC) through their Regulatory Guide 271: Internal Dispute Resolution. Ausbil is also committed to the standards set out in the Australian Standard (AS/NZS 10002:2014) on guidelines for complaint management in organisations.

Pursuant to Australian Standards (AS/NZS 10002:2014) a complaint is defined as "an expression of dissatisfaction made to or about an organisation, related to its products, services, staff or the handling of a complaint, where a response or resolution is explicitly or implicitly expected or legally required".

Investors have the right to have their complaints about any of our managed funds (Funds) accepted and reviewed, free of charge.

We have a clear process for resolving such complaints that includes a clear internal escalation process, internal accountability and information on other avenues that clients can pursue if they seek further resolution.

## How to lodge your complaint

We are committed to providing the highest level of service and products to our clients. However, if you are dissatisfied with our services or products you can lodge a complaint by contacting us:

By mail: Chief Compliance Officer  
Ausbil Investment Management  
GPO Box 2525  
Sydney NSW 2001

Or by email at: [contactus@ausbil.com.au](mailto:contactus@ausbil.com.au)  
Or by telephone on: (02) 9259 0200

Please record your complaint, if possible, in writing outlining the name in which you hold your investment, the fund you are complaining about and the key issues you would like to raise. You may also wish to lodge a complaint by phoning us on the number above. If you require any additional assistance to lodge a complaint, we will accept complaints made by your representative including financial advisers, legal representatives, family and friends.

## How your complaint is managed

We take great care in seeking to resolve complaints. When we receive your complaint, the following steps occur:

1. You will receive an acknowledgement that we have received your complaint within 24 hours (or one business day) or as soon as practicable.).
2. Once our CCO has collected all required information about the complaint, we will conduct our investigation and assessment.
3. We will aim to resolve the complaint as quickly as we can.
4. If the complaint is not resolved within 5 business days, we will provide you with a final written response within 30 calendar days from the date of receipt of your complaint. The final response letter will outline our findings, proposed resolution, and your right to take the complaint to the Australian Financial Complaints Authority (AFCA).

## What happens if you are not happy with the outcome of Ausbil's handling of the complaint?

As a client, if you do not agree with the outcome of Ausbil's internal complaints process, you are entitled to apply to AFCA to have your matter independently reviewed.

AFCA's service is generally only available to 'retail clients' (as defined in the Corporations Act). Indirect investors must generally contact their IDPS platform operator if they wish to make a complaint or if they are unsatisfied with how a complaint has been handled.

Australian Financial Complaints Authority Limited  
GPO Box 3  
Melbourne, VIC 3001

info@afca.org.au

1800 931 678 (9:00am–5:00pm AEST weekdays)

This Policy will be reviewed at least annually and updated where necessary

<b>Version Control</b>	
Version 3: February 2020	Adopted EXCO: March 2020
Version 4: February 2021	Adopted EXCO: February 2021
Version 5: October 2021	Adopted EXCO: October 2021
Version 6: August 2022	Adopted EXCO: August 2022
Version 7: June 2023	Adopted EXCO: June 2023

**Document Owner:** Chief Compliance Officer