

MASON STEVENS LIMITED
COMPLAINTS HANDLING & DISPUTE RESOLUTION POLICY



Complaints handling & dispute resolution

PURPOSE

At Mason Stevens Limited we are committed to providing all our clients with the highest levels of service. Your feedback is important to us and we understand that there may be a time when you may feel dissatisfied with the product or service that we provide and would like to make a complaint.

This document outlines how we will handle your complaints and ensure your concerns are resolved.

OUR POLICY

Mason Stevens has established an internal process for handling complaints with the view to ensuring the prompt, fair and effective resolution of complaints.

Mason Stevens take complaints seriously as they provide us with information to allow us to improve our products and services.

The process for handling complaints is designed to:

- recognise and protect the rights of clients, including the right to complain,
- provide an efficient, fair and accessible mechanism for resolving client complaints,
- provide a means by which clients are informed of complaints handling process available to them,
- monitor complaints and their causes to improve the quality of and client satisfaction with, the financial products or services provided by Mason Stevens.

Complaints are dealt with in confidence.

Our complaint handling process has been established in accordance with the Australian Securities and Investments Commission (ASIC) Regulatory Guide 165 and the Australian Standard on Complaints Handling AS ISO 10002-2006.

MAKING A COMPLAINT

If you have a concern or complaint, please tell us so that we can investigate and try to resolve the matter to your satisfaction.

You can contact us via the following:

☎ Toll free 1300 98 88 78

✉ info@masonstevens.com.au

✉ Complaints Officer
Mason Stevens Ltd
Level 21
9 Castlereagh Street
Sydney NSW 2000

To assist us in helping you, please provide the following information:

- your name and the account name
- your phone number and/or email address
- details of the matter - dates on which events occurred and a description
- any questions you want answered
- an indication of what you would like us to do
- any supporting documents about the matter.

If you phone, your call will be answered by one of our client services team who will take the details of your complaint and refer it to our Complaints Officer.

Mason Stevens has a Complaints Officer who is responsible for managing complaints. The Complaints Officer is a senior member of the management team at Mason Stevens.

Privacy complaint

If you wish to make a complaint about how your personal information has been handled by Mason Stevens or you wish to access or correct the personal information we hold, please contact the Privacy Officer, using the contact details below.

OUR COMMITMENT TO YOU

We are committed to resolving your complaint in the shortest timeframe possible. As soon as we receive your complaint we will acknowledge its receipt and review the situation to work towards a resolution.

We aim to resolve most issues within five business days.

However, we like to ensure that any complaint is properly considered and resolved so if your situation is more complex it may take longer to resolve. If that is the case, we'll keep you informed of our progress, including an indication of the steps to be taken to address the matter and the likely timeframe for resolution. We will make every effort to resolve the matter within 30 days of being notified.

We will keep you informed of progress with resolving the matter but if you would like to receive an update on progress please feel free to also contact the Complaints Officer.

OUR INTERNAL REVIEW PROCESS

Following is a summary of the steps we generally take in resolving complaints:

- Obtain details of the situation to determine the nature of the complaint
- Confirm the issue
- Consider the options available
- Determine the most effective course of action for a resolution
- Communicate with the complainant and discuss the proposed resolution
- Agree a course of action with the complainant
- Ensure that the matter has been dealt with fairly and reasonably
- Implement course of action
- Finalise records and correspondence with complainant

EXTERNAL DISPUTE RESOLUTION

If you believe your complaint has not been satisfactorily dealt with, or if you have not received a response, within 45 days, you may wish to contact the Financial Ombudsman Service ('FOS').

FOS is an independent dispute resolution service, registered with the Australian Securities and Investments Commission, which can consider complaints about financial products.

Mason Stevens is a member of FOS (our FOS membership number is 15155). The service is free to our clients.

The contact details for FOS are:

☎ Toll free 1800 36 72 87

☎ Fax 03 9613 6399

📄 www.fos.org.au

📄 info@fos.org.au

✉ Financial Services Ombudsman Limited
GPO Box 3
Melbourne VIC 3001

You should be aware that FOS will not deal with your complaint unless you have raised the matter with us and given us the opportunity to resolve the matter.

OUR CONTACT DETAILS

☎ Toll free 1300 98 88 78

☎ Fax +612 8270 0298

✉ Mason Stevens Ltd
Level 21
9 Castlereagh Street
Sydney NSW 2000

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