

COMPLAINTS HANDLING POLICY

Incidents and breaches

Purpose

Alder and Partners Pty Ltd (“Alder and Partners”) is committed to conducting its business in accordance with all applicable laws and regulations. Alder and Partners has an obligation to comply with its general obligations under section 912A(1) of the Corporations Act 2001; including facilitating the timely identification, escalation and rectification of complaints. This means that the management of the actual and potential impact, including the potential to minimise complaints from occurring in the future, can be efficiently managed. This policy has been developed with reference to *ASIC Regulatory Guide 271 Internal Dispute Resolution*.

How to lodge a complaint

A complaint can be submitted via several sources depending on the nature of the complaint. Complaints can be received:

- via email
- via phone
- in writing
- in person; or
- via our official social media channel/s.

Your Adviser is best placed to receive your complaint initially. You can also reach out to our Compliance Team who handles all complaints. The Compliance Team can be reached by:

Mail: Complaints Manager
 Alder & Partners Private Wealth Management
 PO Box 5140
 Dalkeith WA 6009

Email: pnagle@alderandpartners.com.au

Telephone: (08) 9386 1900

Assistance required for lodging complaints

If you require assistance in lodging your complaint, please reach out to your Adviser or the Compliance Team.

Process for handling complaints

Alder and Partners' internal process for handling complaints aims to ensure that complaints are resolved in a timely, fair and consistent manner. Our internal process is:

- Within one business day, we acknowledge that we have received the complaint. We aim to resolve the complaint immediately, if possible.
- Where we cannot resolve the complaint immediately, our Compliance Team will investigate the complaint and conclude on an appropriate resolution.
- The complainant will be informed of the resolution within 30 days. If we are unable to conclude on the resolution within 30 days, we will provide the complainant with the details to the Australian Financial Complaints Authority (AFCA).

Response timeframes

We are required to provide a final response to a complaint within 30 calendar days of the complaint being lodged. There may, however, be factors outside of our control, that may extend this timeframe.

The Australian Financial Complaints Authority

If a complainant is not satisfied with Alder and Partners's response to their complaint, they may be entitled to refer this matter to AFCA. AFCA is an independent external complaints resolution body. Alder and Partners' AFCA membership number is 46182. The contact details for AFCA are:

Mail: GPO Box 3
Melbourne VIC 3001

Telephone: 1800 931 678

Website: www.afca.org.au

Email: info@afca.org.au