

Complaints Management Policy

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PART A – INTRODUCTION

1. Purpose

- 1.1 ESR Australia (**ESR Australia, we or us**) is committed to effective and efficient complaints management and to fair and transparent dealings in the financial marketplace.
 - 1.2 A complaint is 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.
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2. Our Complaints Management Process

- 2.1 We take your feedback seriously and will work proactively to investigate and resolve your complaint. If you have a complaint, please contact us by any of the following methods:
 - a) Email: co-sec@esr.com;
 - b) Phone: (02) 9186 4700; or
 - c) Post: Level 24, 88 Phillip Street, Sydney NSW 2000.
 - 2.2 Any material relating to ESR Australia's Internal Dispute Resolution (**IDR**) process will be provided to you free of charge.
 - 2.3 We will collect certain information from you, including:
 - a) Your name;
 - b) Your contact details;
 - c) How you would prefer to be contacted;
 - d) A description of your complaint; and
 - e) How you would like the complaint resolved.
 - 2.4 We will acknowledge your complaint, generally within two (2) business days of receiving the Complaint, or as soon as practicable, and give you the contact details of the person responsible for dealing with your complaint.
 - 2.5 The person responsible for dealing with your complaint will commence their investigation and may require further details from you. Upon completion of their investigation, the person responsible for dealing with your complaint will contact you with an IDR response. This will provide you with information about:
 - a) the final outcome of your complaint at IDR; and
 - b) information about other remedies that may be available to you.
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3. Timeframe for Resolving Complaints

- 3.1 We endeavour to resolve all complaints as quickly as practicable. Many complaints can be resolved within days or on the spot. We will keep you informed in relation to your dispute and will provide you with an IDR response within forty-five (45) calendar days of receiving your complaint.

4. Accessibility Services

- 4.1 We take our commitment to provide accessible services to customers seriously.
- 4.2 If you are deaf or have a hearing or speech impairment, you can contact us on the [National Relay Service](#), a government initiative that offers an Australia-wide phone service for people who are deaf or have a hearing or speech impairment. It's available at no additional charge:
- a) Talk to text users, please call 133 677 and then ask for (02) 9186 4700;
 - b) Speak to listen users, please call 1300 555 727 and then ask for (02) 9186 4700;
 - c) Internet relay users, please [connect to the NRS](#) and then ask for (02) 9186 4700.

5. Contact Us

- 5.1 If you have any questions or would like further information about our complaints handling process, please contact us by:
- a) Email: co-sec@esr.com;
 - b) Phone: (02) 9186 4700;
 - c) Post: Level 24, 88 Phillip Street, Sydney NSW 2000.