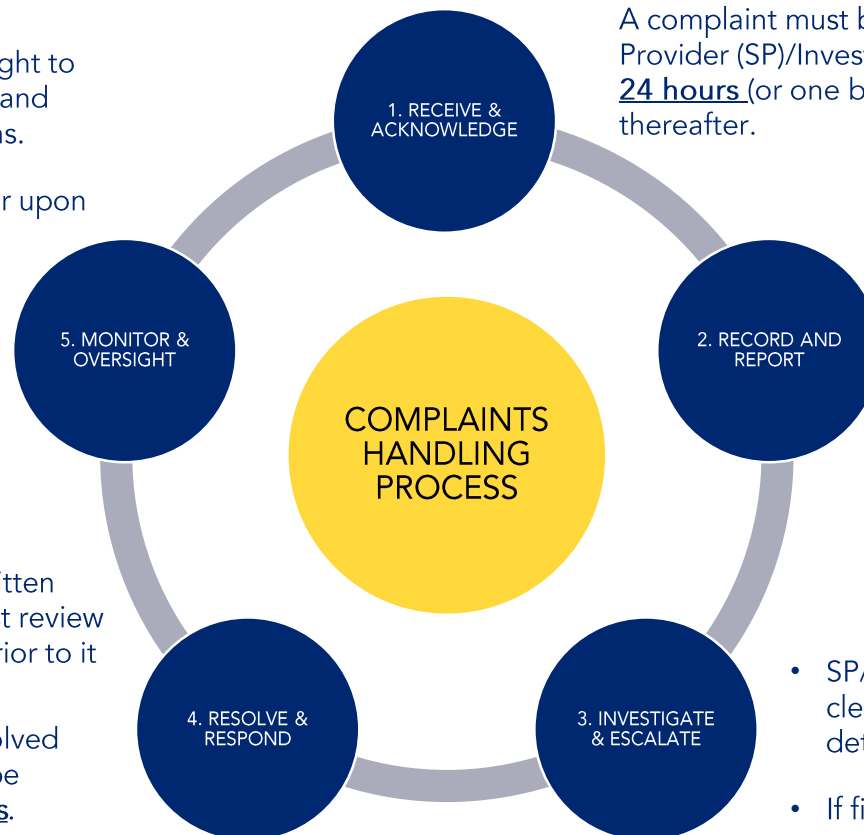


# CTS COMPLAINTS HANDLING PROCESS



“AN EXPRESSION OF DISSATISFACTION MADE TO OR ABOUT AN ORGANISATION, RELATED TO ITS PRODUCTS OR SERVICES, STAFF OR THE HANDLING PROCESS OF A COMPLAINT, WHERE A RESPONSE OR RESOLUTION IS EXPLICITLY OR IMPLICITLY EXPECTED OR LEGALLY REQUIRED”.

- EQT undertake monitoring & oversight to ensure compliance with EQT Policy and the underlying regulatory obligations.
- SP/IM to provide complaints register upon request



A complaint must be acknowledged by the relevant Service Provider (SP)/Investment Manager (IM) to the complainant within 24 hours (or one business day), or as soon as practicable thereafter.

- Seek resolution and issue a final written response within 30 days. EQT must review the IDR response of the IM or SP prior to it being issued.
- If a complaint is not able to be resolved within 30 days the customer must be informed BEFORE 30 days expires.

- SP/IM to email complaint details to EQT – [ERIncidents@eqt.com.au](mailto:ERIncidents@eqt.com.au)
- EQT record the complaint and provide SP/IM with complaint number

- SP/IM and EQT to investigate and document clear timeline of events and facts, and determine appropriate remedy, if any.
- If financial impact is potentially large then escalate asap.