



# Complaints Handling Procedures

AQR Pty Limited  
ABN: 38 116 067 255  
AFS Licence: 305 603

**Date: 23 June 2020**

AQR Pty Limited (“AQR Australia”) has developed these procedures to ensure that complaints are handled in a clear and effective manner. These procedures represent AQR Australia’s commitment to fair and transparent dealings with our clients and prospective clients.

## How to lodge a complaint

All complaints should be addressed to the Compliance Officer of AQR Australia:

|                 |   |
|-----------------|---|
| Phone:          | +61 2 8023 6500   |
| Fax:            | +61 2 8023 6511   |
| E-mail:         | AustLegalcompliance@aqr.com   |
| Postal address: | AQR Pty Ltd., GPO Box 2604, Sydney NSW 2000                           |
| Street address: | AQR Pty Ltd., Suite 30.3 Level 30, 420 George Street, Sydney NSW 2000 |

Should you need additional assistance to lodge your complaint please, also contact the Compliance Officer of AQR Australia using the above contact details.

## How can a complaint be made and what information may be required?

A complaint may be made by any communication medium, such as: phone, email or letter.

In order to investigate a complaint effectively, AQR Australia may need the following information from you:

- appropriate identification and contact details; and
- sufficient details about the nature of the complaint together with relevant background information.

**AQR Pty Limited**  
GPO Box 2604  
Sydney, NSW 2000

p: +61.2.8023.6500  
f: +61.2.8023.6510  
w: aqraustralia.com



## Investigation and resolution

Once a complaint is received AQR Australia will commence its investigation into the matter.

Possible resolutions include:

- Rectifying any mistake; or
- Providing additional information or documentation to enable the complainant to understand what happened and how we have dealt with the matter.

## How long will it take?

### *Resolution at point of inquiry*

Where possible, AQR Australia will attempt to resolve matters at first point of contact.

### *Initial acknowledgement*

AQR Australia will aim to acknowledge all complaints received within 24 hours of receipt, or as soon as practicable. Such acknowledgement may be verbal or written.

### *Formal responses*

A formal response is a written communication from AQR Australia to the complainant that:

- Advises them of the outcome from their complaint;
- Explains their right to take the complaint to Australian Financial Complaints Authority ("AFCA") if they are not satisfied with the resolution; and
- Provides the contact details of AFCA.

If AQR Australia rejects or partially rejects the complaint, we will clearly set out the reasons for the decision by:

- Identifying and addressing all the issue raised;
- Setting out the findings and refer to information supporting the findings; and
- Provide enough details for the complainant to understand the basis for the decision and be informed when deciding to refer the matter to AFCA.

The length of time AQR Australia takes to resolve a complaint will depend on the nature and complexity of the issues a complainant has raised, and the extent of the enquiries required to enable those issues to be addressed. However, a formal response will be made within **30 days** from the point of receiving the complaint.

### **AQR Pty Limited**

GPO Box 2604  
Sydney, NSW 2000

p: +61.2.8023.6500

f: +61.2.8023.6510

w: aqraustralia.com



## **AFCA Membership**

AQR Australia is a member of the Australian Financial Complaints Authority. If an issue has not been resolved to your satisfaction, you can refer the matter to AFCA. AFCA provides fair and independent financial services complaint resolution services that are free to consumers.

Website: [www.afca.org.au](http://www.afca.org.au)

Email: [info@afca.org.au](mailto:info@afca.org.au)

Telephone: 1800 931 678 (free call)

In writing to: Australian Financial Complaints Authority, GPO Box 3, Melbourne VIC 3001

### **AQR Pty Limited**

GPO Box 2604

Sydney, NSW 2000

p: +61.2.8023.6500

f: +61.2.8023.6510

w: [aqraustralia.com](http://aqraustralia.com)