



Complaints Handling Procedure

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

Date: 1 October, 2015

AQR Pty Limited (AQR Australia) has developed a Complaints Handling procedure to ensure that complaints are handled in a clearly defined and effective manner. This policy represents AQR Australia's commitment to fair and transparent dealings with our clients.

What is the procedure for making a complaint?

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

- Appropriate identification
- Provision of contact details
- Sufficient detail of the nature of the complaint and supply of any relevant documents and other information that may support the complaint and its resolution.

Written complaints should be sent to:

AQR Pty Ltd
Suite 1 Level 29
420 George Street
SYDNEY NSW 2000

AQR Pty Ltd
GPO Box 2604
Sydney NSW 2000

Or

Compliance@aqr.com

AQR Pty Limited
GPO Box 2604
Sydney, NSW 2000

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



For verbal complaints please call:

Jeff Dunn at:

Phone: +61 2 8023 6500

Fax: +61 2 8023 6511

How long will it take?

- The length of time AQR Australia takes to resolve a complaint will depend on the nature and complexity of the issues you have raised, and the extent of the enquiries required to enable those issues to be addressed.
- Where possible AQR Australia will attempt to resolve matters at first point of contact.
- AQR Australia aims to acknowledge all complaints received within two working days of receipt.
- AQR Australia will endeavor to respond to the majority of all complaints within 10 days of receipt.
- For complaints that require in-depth investigation or additional information from the client, AQR Australia will attempt to respond within 30 days of receipt.
- Where it has not been possible to complete the complaint's review process within 30 days, AQR Australia will notify the client of the reasons for the delay and provide an updated target date for the resolution.
- Acknowledgement and all correspondence will be carried out either by post, email or telephone.

What action will you take in response to my complaint?

If we ascertain that your complaint is justified, we will then decide what action we should take in response. Possible steps include:

- Rectifying any mistake
- Providing you with additional information or documentation to enable you to understand what happened and how we have dealt with it
- Amending our policies, procedures or systems if a systemic or recurring problem has been identified.

FOS Membership

AQR Australia is a member of the Financial Ombudsman Service ("FOS"). If a complainant feels that their complaint was not dealt with to their satisfaction the complainant may notify FOS at 1800 367 287 or 1300 78 08 08 for the cost of a local call.

Alternatively, you can lodge your complaint online by using the relevant link found on the FOS website www.fos.org.au or via mail: GPO Box 3, Melbourne, VIC 3001