



# Complaints Handling Procedure

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AQR Pty Limited

ABN: 38 116 067 255

AFS Licence: 305 603

**Date: 1 April 2018**

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 procedure 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 (e.g. full legal name of the organization, an investor number, etc.);
- Provision of contact details (e.g. business address, telephone number, an e-mail, etc.);
- 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 (e.g. the relevant Fund name, description of the complaint, etc.).

Please address all complaints to Jeff Dunn, Principal;

Phone:	+61 2 8023 6500
Fax:	+61 2 8023 6510
E-mail:	Compliance@aqr.com
Postal address:	AQR Pty Ltd., GPO Box 2604, Sydney NSW 2001
Street address:	AQR Pty Ltd., Suite 30.03, Level 30, 420 George Street, Sydney NSW 2000

## 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 a client has raised, and the extent of the enquiries required to enable those issues to be addressed.

**AQR Pty Limited**

GPO Box 2604

Sydney, NSW 2001

p: +61.2.8023.6500

f: +61.2.8023.6510

w: aqraustralia.com



- 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 AQR Australia take in response to a client's complaint?**

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

- Rectifying any mistake;
- Providing a client with additional information or documentation to enable them 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 as detailed below:

By phone: 1800 367 287  
In writing: Financial Ombudsman Service, GPO Box 3, Melbourne VIC 3001  
By e-mail: info@fos.org.au

Alternatively, you can lodge your complaint online by using the relevant link found on the FOS website <http://www.fos.org.au/>

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