



Complaint Handling Procedure

Decode Capital Pty Ltd

ABN: 68 066 066 911

AFSL No: 246796

Date Issued: 5 October 2021

Decode Capital Pty Ltd (Decode Capital) is committed to:

- providing a high standard of client service; and
- maintaining our reputation for integrity and accountability.

We welcome feedback on our services at any time. If you are dissatisfied with our services, please give us the opportunity to fix the problem. We will investigate, answer your questions and endeavour to resolve any issues so you can enjoy trading with Decode Capital.

Our complaint handling procedures seek to ensure complaints are reviewed independently and result in fair resolutions to customer complaints.

WHAT IS A COMPLAINT?

Decode Capital defines a complaint as “an expression of dissatisfaction, whether oral or written, with a product or service provided by Decode Capital that is not resolved at the first point of contact.”

HOW TO MAKE A COMPLAINT

You may make a complaint to any Decode Capital Staff member, who will be responsible for doing everything within their authority to resolve the issue at the first point of contact.

Where a member of staff feels they lack the experience, expertise or authority to settle the matter immediately, they may refer the matter to their supervisor.

We may ask you to provide details to us in writing. This includes specifying the nature of the complaint, providing us with specific details, and the desired outcome or action you wish Decode Capital to take to settle the complaint to your satisfaction. We may ask you to provide relevant material to support the complaint; doing this will help us respond quickly.

You can contact our Client Services team through any of the contact details below:

Client Services
Decode Capital Pty Ltd
Suite 25.01B, Level 25, International Tower One,
100 Barangaroo Ave, Barangaroo,
NSW 2000, Australia
Email: support@decodecapital.com.au

Phone: (02) 8319 2338

INVESTIGATION

On receipt of your complaint, our staff will discuss the issue with you and, if required, will complete an investigation.

We will endeavour to resolve your complaint within 30 calendar days, unless we reasonably require more time due to the nature of your complaint.

If we are unable to resolve the complaint within 30 calendar days, we will: (a) inform you of the reasons for the delay; (b) provide you with updates on the progress of the complaint; and

(c) specify a date when a decision can be reasonably expected. In most cases, we would expect that the above process would deal with the matter fully and to your satisfaction.

Internal Escalation

We expect that our front-line staff and supervisors will completely resolve the issues you raise. If, despite our best efforts, you believe your complaint has not been satisfactorily dealt with, you may elect to have the matter reviewed.

Write to Decode Capital at the address below and our Complaints Officer will independently review the matter:

Complaints Officer
Decode Capital Pty Ltd
Suite 25.01B, Level 25, International Tower One,
100 Barangaroo Ave, Barangaroo,
NSW 2000, Australia
Email: complaints@decodecapital.com.au

External Dispute Resolution

If there are circumstances where the complaint has been fully considered under Decode Capital's internal complaint procedure but has not been resolved to your satisfaction or you are unhappy about the complaint handling process, you have the option of having the complaint heard by Decode Capital's External Dispute Resolution Scheme – the Australian Financial Complaints Authority (AFCA).

AFCA is a free service. AFCA will facilitate discussions and negotiations between the parties. At this stage the issues that are in dispute will be identified. If the dispute cannot be resolved through discussion, AFCA may facilitate conciliation between the parties. The conciliator will attempt to assist the parties to settle the dispute and agree on the terms of such settlement. If conciliation does not facilitate settlement of the dispute, AFCA will appoint an independent AFCA Decision Maker to make a decision taking into account relevant law, fairness and reasonableness. As a member of AFCA, any decision by the adjudicator is binding on Prospero if accepted by the client.

You can contact AFCA at:

Australia Financial Complaints Authority
GPO Box 3
Melbourne VIC 3001 Australia
Phone 1800 931 678
Fax: (03) 9613 6399

Website: www.afca.org.au

Email: info@afca.org.au