



INVEST GLOBAL
MULTI-ASSET PRIME BROKERAGE



General Enquiries

+612 9083 1333

investsupport@invest.com.au

Complaints

8 January 2021

At Invest Global, we strive to hear our clients, partners and the community at large.

Invest Global has a dedicated complaints handling policy consistent with our regulatory requirements.

Should you wish to lodge a complaint, we have set out our process as below.



How to lodge a complaint

At Invast Global, we pride ourselves on our client focus, and our Client Coverage team is always available to assist you with any issues you may be encountering on +61 2 9083 1333.

If you still are dissatisfied with an Invast Global product, service, staff member or the prior handling of a complaint and wish to lodge a complaint, you may do so through any of the following channels:

Send a written complaint –

By post – Suite 1, Level 5, 55 Harrington Street, The Rocks, Sydney NSW 2000

By email – clientcoverage@invast.com.au

Submit a verbal complaint over telephone on **+61 2 9083 1333**

Assistance in Lodging Complaints

We want to make it as easy as possible for you to lodge a complaint or express dissatisfaction to us.

If you require additional assistance to lodge a complaint, feel free to contact our Client Coverage team at +61 2 9083 1333 so we can determine how best to facilitate your complaint

If you wish, you are able to submit a complaint to us through a representative.

Upon proof of authorisation, we will then deal with your complaint through your representative acting on your behalf.

While we have a multilingual team, if you believe language may cause a barrier to successful resolution of your complaint feel free to contact us on **+61 2 9083 1333** to discuss your concerns.

Key Steps in our Complaints Procedure

1. Acknowledgement

Upon receiving your complaint, we will respond to you within 24 hours or one business day acknowledging receipt of your complaint and requesting additional information (if any) required to address your complaint.

We will endeavor to respond using the same channel you initially lodged the complaint through, unless you indicated another preference within the complaint

2. Assessment

If complaints are unable to be resolved at first instance, they are internally assigned to our Legal & Compliance team for investigation and assessment.

Depending on the nature of the complaint, Legal & Compliance will determine the need for further investigation given the severity, complexity, impact and need for immediate action suggested by the complaint and set a target resolution date.

The target resolution date will be no longer than thirty (30) days after initial receipt of the complaint.



3. Response

Upon investigation and consideration of a complaint, we will issue you with an Internal Dispute Resolution (IDR) response, detailing the final outcome of your complaint and your right to lodge a complaint with the Australian Financial Complaints Authority (AFCA) if you are dissatisfied with our response.

If we accept your complaint, we will confirm what action we have taken to resolve it. Such action may include but is not limited to technical assistance, information, compensation, apology or an indication of changes in products, services or procedure.

If we have dismissed your complaint, we will provide reasoning for our decision.

Australian Financial Complaints Authority (AFCA)

If you are dissatisfied with how we have resolved your complaint, you may lodge a further complaint with AFCA. AFCA deals with complaints about financial services including banking, credit, loans, general insurance, life insurance, financial planning, investments, stockbroking, managed funds, pooled superannuation trusts and Traditional Trustee Company Services.

As an independent body, AFCA provides free, fair and accessible dispute resolution for consumers and some small businesses unable to resolve a dispute directly with financial service providers (such as Invest Global).

External dispute resolution processes can assist resolving disputes through negotiation or conciliation as an alternative to court proceedings and can make decisions which are binding on participating financial services providers.

The contact details for AFCA are as follows:

Website: <https://www.afca.org.au/>

Telephone: 1800 931 678

Email: info@afca.org.au

Postal Address: Australian Financial Complaints Authority, GPO Box 3, Melbourne VIC 3001