

# Complaints handling guide

## About this guide

This guide is designed to assist you in accessing our dispute resolution procedures if you wish to make a complaint about the products provided by Newmark Capital Limited ACN 126 526 690 AFSL No. 319372 (**Newmark, we or us**) we provide or the service you have received (including the complaints handling process itself).

Indirect investors such as investors in an administration or wrap platform also have access to our dispute resolution process. If you are an indirect investor, please contact us using the details provided below.

## What is a complaint?

A complaint is defined as an expression of dissatisfaction made to an organisation, related to its products or services, or the complaints handling process itself, where a response or resolution is explicitly or implicitly expected, or legally required.

## How we handle complaints

If you have a complaint, then consider the following:

1. **Lodging a complaint**—depending on the nature of your complaint, you can make your complaint by telephone or in writing to us, as follows:

Address: Level 17, 644 Chapel Street, South Yarra, Victoria

Telephone: (03) 9820 3344

Email: [info@newmarkcapital.com.au](mailto:info@newmarkcapital.com.au)

To help us assess your complaint and address your concerns, we request you:

- (a) provide us with all the information you consider to be relevant to your complaint, including a detailed description of the financial service or product the subject of your complaint (including any reference numbers, if applicable), the names of any of our employees involved and any relevant dates
- (b) think about the questions you would like us to answer
- (c) tell us what you consider would be a reasonable response/outcome to the complaint, and
- (d) gather and provide us with all of the supporting documentation (including a Complaint Form if one has been completed) relevant to the complaint.

A Complaint Form is attached to this guide and you may use this form to register your complaint with us. Completion of the Complaint Form is not compulsory. In assessing your complaint, we may request further information from you.

2. **How complaints are handled**—all complaints are acknowledged immediately, or if that is not possible, as soon as possible, after receipt. We will make every effort to provide you with a final response to your complaint within 30 days of the acknowledgement of the complaint. A final response will include an outcome of your complaint, an offer of redress (if appropriate), and any further rights you have (as outlined below). If resolution of the complaint is not possible within 30 days, then we will give you an update on the status of your complaint, reasons for the delay and your further rights regarding your complaint, as outlined below.

We will otherwise keep you informed of the progress of your complaint. You may contact us at any time during the complaints handling process (using any of the above contact details) to enquire about the status or progress of your complaint.

3. **Other avenues**—if you are not satisfied with the outcome of your complaint, the way we have handled it or if a resolution cannot be reached, then you have the following alternatives available to you:

(a) Financial product and service related complaints can be referred to:

**Australian Financial Complaints Authority**

Postal address: GPO Box 3, Melbourne VIC 3001

Telephone (Australia): 1800 931 678

Facsimile (Australia): 03 9613 6399

Facsimile (international): +613 9613 6399

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

Web: <https://www.afca.org.au/make-a-complaint>

(b) Privacy related complaints can be further referred to:

**Office of the Australian Information Commissioner**

Address: GPO Box 5218, Sydney NSW 2001

Telephone (Australia): 1300 363 992

Telephone (international): +612 9284 9749

