

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 and Newmark RE Limited ACN 658 761 561 AFSL No. 554640 (**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

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
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

Complaint form

Newmark Capital Limited ACN 126 526 690 AFS licence 319372

Complainant details

Client name	<div></div>	<div></div>
	Title (if applicable)	Given name(s) / Name of company
	<div></div>	<div></div>
	Surname / Name of company	
Contact name (if applicable)	<div></div>	
Contact details	<div></div>	
	Email address	
	<div></div>	
	Mailing address	
	<div></div>	<div></div>
	Daytime phone number	After hours phone number
	<div></div>	<div></div>
	Facsimile	Mobile phone number
	<div></div>	<div></div>
Preferred method of reply	Email <input type="checkbox"/>	Mail <input type="checkbox"/> Telephone <input type="checkbox"/> Mobile <input type="checkbox"/> Facsimile <input type="checkbox"/>

Details of your complaint

Who or what is the complaint about?	<div></div>
Include reference number(s) if applicable.	<div></div>
	<div></div>
Please explain your complaint and describe the events in the order they occurred. Include dates wherever possible.	<div></div>
Use a separate piece of paper and attach it to this form if you require more space.	<div></div>
	<div></div>
What do you consider would be a reasonable response / outcome to your complaint?	<div></div>
	<div></div>
	<div></div>
Signature of Complainant	<div></div>
	Date (day / month / year)
	<div></div> / <div></div> / <div></div>

Please return the completed form to—

Newmark Capital Limited
Level 17, 644 Chapel Street, South Yarra VIC 3141

Complaint form

Newmark RE Limited ACN 658 761 561AFS licence 554640

Complainant details

Client name	<div></div>	<div></div>
	Title (if applicable)	Given name(s) / Name of company
	<div></div>	<div></div>
	Surname / Name of company	
Contact name (if applicable)	<div></div>	
Contact details	<div></div>	
	Email address	
	<div></div>	
	Mailing address	
	<div></div>	<div></div>
	Daytime phone number	After hours phone number
	<div></div>	<div></div>
	Facsimile	Mobile phone number
	<div></div>	<div></div>
Preferred method of reply	Email <input type="checkbox"/>	Mail <input type="checkbox"/> Telephone <input type="checkbox"/> Mobile <input type="checkbox"/> Facsimile <input type="checkbox"/>

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	Date (day / month / year)
	<div></div> / <div></div> / <div></div>

Please return the completed form to—

Newmark RE Limited
Level 17, 644 Chapel Street, South Yarra VIC 3141