



# TradeMax Group Pty Ltd Complaint Handling Policy

# Complaint Handling Policy

TradeMax Group Pty Ltd (hereinafter the 'Company') aims to provide superior investment and ancillary services to all of its Clients.

The Company has appointed a Compliance Officer to efficiently handle any complaints from the Client. This is to allow Company to resolve and apply mandatory measures to avoid any recurring issues and improve the client satisfaction.

## Definition

The Company classifies a complaint as any objection and/or dissatisfaction that the Client may have with regards to the provision of any investment and/or ancillary service provided by the Company.

## Procedure

The Compliance Officer shall be responsible for handling Client complaints, except in the case where the complaint involves the Compliance Officer, whereby the complaint shall be handled by the Managing Director.

The Client may register a complaint using any of the following options:

Email: [compliance@trademax.com.au](mailto:compliance@trademax.com.au)

Postal Address: TradeMax Group Pty Ltd  
Suite 4004, Level 40, One International Towers  
100 Barangaroo Avenue  
Sydney NSW 2000

Any Client's complaints received will be forwarded to the Compliance Officer;

When the Compliance Officer receives the Client's complaint then a written acknowledgement will be sent to the Client confirming the name and job title of the person dealing with the complaint within 5 business days;

Within 2 weeks from the date that the Compliance Officer receives the Client's complaint, then a final response or a holding response will be sent to the Complainant explaining the findings of the investigation. In the case where a holding response is sent to the Complainant, then an explanation shall be given stating the reasons why the Company has not been able to resolve the complaint as well as giving an estimated time to resolve the issue;

In 4 weeks after receiving the complaint we are still not in the position to resolve the issue then the Compliance Officer will notify you in writing stating the reasons for the delay and indicate an estimated time to resolve the issue;

When the complainant has received the final response he will have 4 weeks to respond. If no response has been received from the complainant indicating that he is still dissatisfied with the explanation, then the Complaint will be considered as being resolved;

In the case where the complainant is still not satisfied with the Company's final response, then the complainant can refer his complaint with a copy of the Company's final response to ASIC approved external resolution scheme, i.e. the Financial Ombudsman Service Australian (FOS) and the Australian Financial Complaints Authority ('AFCA') within a period of 6 months, for further investigation.

Contact details for the FOS and the AFCA are set out below:

- The Financial Ombudsman Service Australian, **if you lodge a complaint before 1 November 2018:**

Online: [www.fos.org.au](http://www.fos.org.au)  
Email: [info@fos.org.au](mailto:info@fos.org.au)  
Phone: 1800 931 678 (free call)  
Mail: Financial Ombudsman Service Australia  
GPO Box 3, Melbourne VIC 3001

- The Australian Financial Complaints Authority, **if you lodge a complaint on or after 1 November 2018:**

Online: [www.afca.org.au](http://www.afca.org.au)  
Email: [info@afca.org.au](mailto:info@afca.org.au)  
Phone: 1800 931 678 (free call)  
Mail: Australian Financial Complaints Authority  
GPO Box 3, Melbourne VIC 3001