

December 2025

Public Complaints Management Policy

2025



Pitcher Partners Corporate Pty Ltd

Pitcher Partners Corporate Pty Ltd (AFSL 229841) provides various corporate advisory services through its AFSL to privately owned businesses and small to medium sized public and ASX listed companies. These services may include mergers and acquisitions, valuations of businesses and intangible assets and equity (including employee incentive schemes), financial due diligence, loss of profit and compulsory acquisition matters, independent expert reports (IER) and independent limited assurance reports (IAR) which are included in prospectuses of companies looking to list (predominantly on the Australian Stock Exchange).

The **purpose** of this policy is to provide information on how consumers can lodge a complaint with Pitcher Partners Corporate Pty Ltd (PPC), the options available to assist consumers who might need additional assistance to lodge a complaint and PPC's steps for dealing with complaints including response timeframes.

How to lodge a complaint

Complaints can be lodged (either in **writing, online, via email, phone call or in person**) directly with the firm's Complaints Officer. The Complaints Officer is the Chief Risk and Compliance Officer, however, in certain circumstances the Chief Risk and Compliance Officer may appoint a delegate to manage or assist with a complaint.

We request that you direct your complaint directly to the Complaints Officer via one of the above methods. Complaints raised via other means, such as social media, may not be seen by the Complaints Officer or recognised as a complaint.

What if I need assistance to lodge a complaint?

We recognise that not all people want to make a complaint and therefore it is important to us that you feel encouraged and supported to lodge a complaint.

A complaint may be lodged by yourself or by a representative on your behalf. Such representatives might include, but may not be limited to, financial counsellors, legal representatives, family and friends. Where a complaint is received via a representative, PPC will not contact you directly unless you specifically request direct communication with us. **Exceptions** to this might include where we don't believe the representative is acting in your best interests, or they are acting in a deceptive or misleading manner, or we believe they are not authorised to represent you.

Alternatively, contact the Complaints Officer and request assistance. We will endeavour to assist you to make it as easy as possible.

Geoff Gray
Chief Risk and Compliance Officer

p. +61 3 8610 5363
e. Geoff.gray@pitcher.com.au
m. GPO Box 5193, Melbourne VIC 3001
In person. Level 13, 664 Collins Street, Docklands



Our complaints handling process

Complaint is received

A complaint may be received by anyone within PPC and therefore staff have received training to assist them in recognising a complaint and immediately directing it to the Complaints Officer. Complaints may be received verbally or in writing.

Verbal Complaint



When a verbal complaint is received, either by phone, video link or in person, the person receiving the complaint is expected to make a comprehensive record of the complaint, including who is making the complaint and their contact details, the background information that has led to the complaint and any desired resolution from the complainant – including timeframes.

This information is required to be passed through to the Complaints Officer for consideration and actioning.

Written complaint



Written complaints are also to be directed to the Complaints Officer immediately after receipt.

The Complaints Officer or the person who received the complaint (e.g. the PPC team member) may contact you if further clarification is required on any of the matters raised.

Complaints received are recorded by the Complaints Officer in a Complaints Register for record maintenance and further investigation purposes.

Acknowledgement of the complaint

PPC will provide you with an **acknowledgement within 24 business hours of receiving the complaint.**

The acknowledgement may be verbal or in writing and will inform you that a formal response will be provided within 10 business days.

Assessment and investigation of the complaint

The Complaints Officer, or a delegate, will attempt to collect and analyse all information and background material relevant to the complaint and may make further enquiries of the complainant or the PPC member to gain a better understanding of the complaint.

The Complaints Officer



Will analyse the information from the various sources and will generally form a view as to whether the complaint is reasonable and valid, and if so, what resolution may be appropriate.

May also consider **whether any breach** of the AFS License, Codes of Ethics or law has occurred and recommend appropriate action to address this. This may include a formal breach notification, identifying whether other parties may be affected and determining if broader remediation steps are required.

Where the complaint **relates to concerns about independence or actual or perceived conflicts of interest** the Complaints Officer may refer the matter to the firm's Risk Committee along with proposed action.



Formal response

PPC will issue a **formal response to you within 10 business days of the complaint being made**, even if we are unable to resolve the issue in that period – in which case we will disclose to you the reason for the delay.

The formal response will include the outcome of the complaint assessment, and any proposed action and resolution where it is determined that the complaint is valid.

Our response will also provide options available to you if you are not satisfied with our response. This will generally include the offer of an independent internal review conducted by a designated Partner of Pitcher Partners.

The details of the designated Partner will be provided at the time of our response. We will also include the contact details for the Australian Financial Complaints Authority (AFCA) which also appear below.

PPC has a maximum timeframe to provide you with a formal complaint response within 30 calendar days.

Delayed complaint resolution

Some limited exceptions for resolution may apply in certain circumstances. Where a delay is likely to occur and we are unable to resolve the complaint within 30 calendar days, we will issue a delay notification to the complainant (either yourself or your representative). In our communication, we will include the reason for the delay. You have a right to complain to AFCA if you are dissatisfied with the delay.

Maintaining and filing complaints

All records in relation to the complaint are retained by the Complaints Officer within the firm's document management system.

Independent External Review

Australian Financial Complaints Authority (AFCA)

PPC is a member of AFCA. If you still do not get a **satisfactory outcome within 30 calendar days** of the first notification of your complaint to us, you have the right to lodge a complaint with AFCA.



Australian Financial Complaints Authority (AFCA)

GPO Box 3, Melbourne, VIC 3001

e. info@afca.org.au

w. <https://www.afca.org.au/about-afca>

Consumers. 1800 931 678

Infoline. 1300 300 630

This service is provided to you free of charge

We may refer a complaint to AFCA for resolution when a complaint remains unresolved and you have not escalated the matter to AFCA. In such instances, we will obtain your consent prior to escalating any unresolved complaints with AFCA.

The Australian Securities and Investments Commission (ASIC) also has a free call Infoline 1300 300 630 which you may use to obtain information about your rights.



Privacy concerns

If your complaint relates to a breach of our Privacy Policy or the Australian Privacy Principles, the matter should be referred to **The Privacy Officer**, Pitcher Partners, GPO Box 5193, Melbourne VIC 3001.

We're ready to help you thrive

Since day one we've been helping businesses, families and individuals intelligently frame their goals and make the most of their potential.

Today, we're one of the largest accounting, audit and business advisory firms in Australia. We work with middle market businesses, from family-run companies to renowned industry leaders and iconic brands. And help families and individuals manage their wealth across generations.

If you've got ambition, we're the team you want on your side.

Local knowledge, national footprint

Pitcher Partners is a national association of six independent accounting, audit and business advisory practices. You'll find our firms in Adelaide, Brisbane, Melbourne, Newcastle and Hunter, Perth and Sydney. Each firm has a unique character, with a strong connection to the local community. Supported by our combined resources, we deliver Australia's most personalised and responsive assurance and advisory services. And if you're thinking beyond the border, we can support your global operations and ambitions through the Baker Tilly International network.

We'll always make it personal

At the heart of Pitcher Partners is the idea that business is never just business. We're known for the dedication we give to building great relationships, and it's been that way from the start. People first.

Everything we do is grounded in communication and collaboration. We're here for that frank, refreshing and always informed discussion that leads to new ideas and better decisions. And we're here for you. Whatever your goals, we can get there together.

Pitcher Partners. Making business *personal*.