



Public Complaints Policy

*Pitcher Partners Sydney Corporate Finance Pty
Ltd (AFSL 516413)*



Pitcher Partners Sydney Corporate Finance Pty Ltd

Pitcher Partners Sydney Corporate Finance Pty Ltd (AFSL 516413) 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), 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).

Purpose

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

Overview

This policy explains how you can make a complaint, our measures for handling your complaint, and the steps you can take if you are not satisfied with our response to your complaint or the time that it takes for us to respond.

When we use the term "IDR", we mean "internal dispute resolution".

We acknowledge the importance of having an effective and efficient complaints handling and IDR framework, and we adopt a customer-focused approach. While we acknowledge your right to make a complaint, we expect that you will treat our staff with respect when they are dealing with your complaint.

This Complaints Policy sets out the information required to be in a Complaints policy by *ASIC Corporations, Credit and Superannuation (Internal Dispute Resolution) Instrument 2020/98* ("the Instrument"). The Instrument is a legislative instrument made by the Australian Securities and Investments Commission ("ASIC").

We adopted the current version of this Complaints Policy on 1 October 2021.



What is a complaint?

A complaint is:

“An expression of dissatisfaction made to or about us; related to our products, services, staff or our handling of a complaint, where a response or resolution is explicitly or implicitly expected or legally required”.

How to make a complaint

You can make a complaint to Cecilia Truong, the Complaints Officer in any of the following ways:

Telephone: +61 2 8236 7772

Email: PPSCFComplaints@pitcher.com.au

Writing: GPO Box 1615, Sydney NSW 2001

When making your complaint please tell us:

- your name
- how you wish us to contact you (for example, by phone, email)
- what your complaint is about; and
- what you are seeking to resolve your complaint.

We request that you direct your complaint directly to the Complaints Officer via one of the above methods.

If you need help to make 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. Please note that we will need your authority to speak to any representative that you appoint.

Where a complaint is received via a representative, we 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.



How we will deal with your complaint

Acknowledgement

We will acknowledge receipt of your complaint and try to resolve it as quickly as possible. Generally, where your complaint is made:

- verbally – we will acknowledge receipt of your complaint in the same manner and, in writing, within one business day, or as soon as practicable thereafter;
- in writing – by email or via social media, we will acknowledge receipt of your complaint, in writing, within one business day or as soon as practicable thereafter.

When acknowledging receipt of your complaint, we will also have regard to any preferences you have communicated to us in relation to the way in which you wish for us to communicate with you.

Investigation of your complaint

If we cannot resolve your complaint immediately, we will need some time to investigate your concerns. We may also request that you provide us with further information to assist with our investigation.

IDR Response

We will provide our reasons for the outcome of your complaint in writing (“IDR Response”) within the following timeframes where:

- your complaint is not resolved within 5 business days of us receiving your complaint;
- if you request a written response; or
- if your complaint is about a decision of a superannuation trustee.

Standard Complaints	No later than 30 calendar days after receiving your complaint
Traditional trustee complaints	No later than 45 calendar days after receiving your complaint ¹

Our IDR Response will also inform you of your right to escalate your complaint to the Australian Financial Complaints Authority (AFCA). AFCA offers a free and independent dispute resolution for financial complaints to individuals and small businesses.

If we reject your complaint (whether in full or in part), our IDR Response will:

- identify and address the issues you raised in your complaint;
- set out our findings on the material questions of fact raised in your complaint, making reference to the relevant supporting information; and
- provide a sufficient level of detail in order for you to understand the reasons for our decision so that you can decide whether to escalate the complaint to AFCA or another forum.

¹ Time stops running when (a) another person commences legal proceedings to be included as a beneficiary and the outcome would affect the handling of the complaint at IDR; or (b) the traditional trustee applies for an opinion, advice or direction from a court to reasonably handle the complaint at IDR. Time will start to run again once the court determines whether the other person should be included as a beneficiary, or provides an opinion, advice or otherwise gives a direction, and the time to lodge an appeal (if relevant) has passed.



We are not required to provide you with an IDR Response if:

- your complaint is resolved to your complete satisfaction within 5 business days and you have not requested an IDR Response; or
- within 5 business days of receiving your complaint, we have given you an explanation and/or apology in circumstances where we cannot take any further action to reasonably address your complaint.

Delay in providing an IDR Response

If we are not able to provide our IDR Response to you on time because your complaint is complex or because of circumstances beyond our control, we will write to you to explain the reasons for the delay and inform you of your right to complain to AFCA and provide you with AFCA's contact details.

Escalating your complaint

If you are not satisfied with our response to your complaint, you can escalate your complaint to the Australian Financial Complaints Authority, AFCA.

AFCA

We are required to be a member of an external dispute resolution scheme. Accordingly, we are a member of AFCA and our membership number is 74158.

You can contact AFCA using the following details:

- Email: info@afca.org.au
- Phone: 1800 931 678 (or +61 1800 931 678 if calling from overseas)
- Online: www.afca.org.au
- Mail: GPO Box 3, Melbourne, VIC, 3001



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