

Complaints Management Policy



Introduction

Shaw recognises that implementing effective processes for the identification and recording of client dissatisfaction supports the continuous improvement of Shaw products and services, the way in which they are provided to clients and Shaw's reputation as a leading provider of wealth management services and products in Australia.

Shaw is committed to ensuring all complaints are handled fairly, in a timely manner and a genuine attempt has been made to achieve an appropriate resolution.

How to Lodge a Complaint with Shaw

If you are dissatisfied with any product, service or representative of Shaw, you can lodge a complaint or provide feedback in the manner identified in this document. In the first instance, Shaw encourages clients to address any issues directly with their financial adviser. If you require any additional assistance in lodging your complaint, please make this clear to your financial adviser or contact us directly on the contact details below.

By telephone: (02) 9238 1238
By post: FAO Compliance Manager
Shaw and Partners Limited
Level 7 Chifley Tower
2 Chifley Square
Sydney NSW 2000 Australia
By email: compliance@shawandpartners.com.au

Complaint Handling

On receipt of a complaint you will be issued with a unique complaint reference by Shaw. Where your complaint is not resolved within 5 business days of receipt or where you request a response in writing, Shaw will provide a written response to you within 30 days addressing the issues raised in the complaint.

All complainants have the right to take their complaint to the Australian Financial Complaints Authority ("AFCA") if you are not satisfied with our response.

Website: www.afca.org.au
Email: info@afca.org.au
Telephone: 1800 931 678
In writing to: Australian Financial Complaints Authority
GPO Box 3
Melbourne VIC 3001