

# Link Market Services Complaints Management Policy

## 1. Overview

Link Market Services Limited (Link Market Services) recognises the importance of an effective and efficient Complaints management framework as integral to ensuring appropriate customer outcomes.

This Complaints Policy explains how you can make a complaint free of charge, our measures for managing your complaint, and the steps you can take if you are not satisfied with either our response to your complaint, or the time that it takes for us to respond to your complaint. This Policy applies to both financial services and other services provided by Link Market Services.

This Complaints Policy applies to complaints received by Link Market Services on or after 5 October 2021.

## 2. 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.*

## 3. How to make a complaint?

You can submit a complaint to us by doing one of the following:

- By Post to: Complaints Manager  
Link Market Services  
Locked Bag A14  
Sydney South NSW 1235
- By Telephone – +61 1300 365 969
- By Email to [complaints@linkmarketservices.com.au](mailto:complaints@linkmarketservices.com.au)

We will acknowledge receipt of your complaint within 24 hours of receipt or as soon as practicable and will take all steps to resolve your complaint as quickly as possible.

If you need assistance to lodge your complaint, we are here to help, and can be contacted on +61 1300 365 969.

## 4. Complaints handling process

The key steps we will take to address your complaint are as follows:

- **Acknowledgment** – We will acknowledge receipt of your complaint within 24 hours or as soon as practicable.
- **Record** – All complaints are recorded in our complaints management system and a unique complaint reference number will be provided to you.

- **Investigate** – An objective and detailed investigation will be undertaken to determine the cause of your complaint, the appropriateness of Link Market Service's actions, the actions needed to resolve the complaint and any steps required to communicate the outcome to you.
- **Response** - We will provide you with our written reasons for the outcome of your complaint (known as an "IDR Response") within 30 calendar days after receiving your complaint where:
  - your complaint is not resolved within 5 business days of us receiving your complaint; or
  - if you request a written response

Please note that we are not required to provide you with an IDR Response if:

- Your complaint is resolved to your 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.

In some circumstances, we may be unable to provide an IDR Response within 30 calendar days after receiving your complaint. If this occurs, you will be notified of the delay and the reasons for it.

## 5. Complaints received for Financial Services provided by Link Market Services

Some services provided by Link Market Services are "financial services" provided as a Corporate Authorised representative of Pacific Custodians Pty Limited, Authorised Representative Number 297766. Those services are outlined in the Link Market Services [Financial Services Guide](#) ("FSG"). Examples of the financial services provided by Link Market Services include security sale and acquisition services, employee share and option scheme services. Refer to the FSG for more information about which services are considered financial services and which are considered not to be financial services.

If your complaint is about one of the financial services as covered in our FSG and you are not satisfied with the way your complaint has been managed, or with its resolution, then you may be able to lodge a complaint with the Australian Financial Complaints Authority ('AFCA').

AFCA is a free, fair and independent dispute resolution scheme that considers complaints about financial products and services. AFCA's service is offered as an alternative to tribunals and courts to resolve complaints consumers and small businesses have with their financial firms. AFCA may be able to assist you to resolve your complaint but will only become involved after you have first made use of our own complaints handling process.

You can contact AFCA at:

Address: GPO Box 3, Melbourne VIC 3001

Phone: 1800 931 678

Website: [www.afca.org.au](http://www.afca.org.au)

Email: [info@afca.org.au](mailto:info@afca.org.au)

