

18 April 2022



FTI Capital Advisors
(Australia) Pty Ltd

AFSL No. 504204

Australia Complaints (AFSL) Policy

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Policy Owner:	<u>Maria Duta (Managing Director – Risk & Operations)</u>	Supersedes:	<u>Policy issued 5 October 2021</u>
Policy Approver:	<u>Maria Duta (Managing Director – Risk & Operations)</u>	Issue Date:	<u>18 April 2022</u>
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Introduction

As a market-leading global consulting firm and trusted advisor to our clients, FTI Consulting is committed to the resolution of any complaints it receives in a proactive and transparent manner. Our Code of Ethics and Business Conduct reflects our values and expectations that we perform our work with integrity, honesty and purpose wherever we do business or interact with the public.

Overview

This policy specifically relates to complaints we might receive in relation to the financial services we provide and reflects our commitment and obligations as an Australian financial services license holder. It 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 client and customer focused approach.

The purpose of this Complaints Policy is to set out the information required to be in a public complaints policy by *Regulatory Guide 271 Internal dispute resolution (July 2020)*, published by the Australian Securities & Investments Commission (ASIC).




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 us, directed to the Compliance Manager, in any of the following ways:

 Telephone	<ul style="list-style-type: none"> ■ +61 3 9604 0600 (between 9am and 5pm AEST)
 Email	<ul style="list-style-type: none"> ■ aus.compliance@fticonsulting.com
 Writing	<ul style="list-style-type: none"> ■ Level 21, Bourke Place, 600 Bourke Street, Melbourne, VIC, 3000, Australia

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.

If you need help to make a complaint

If you need help to make or manage your complaint, you can appoint someone (for example, a relative or friend) to represent you. Please note that we will need your authority to speak to any representative that you appoint.

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 your complaint in the same manner within one business day, or as soon as practicable;
- in writing – we will acknowledge your complaint, in writing, within one business day or as soon as practicable thereafter.

When acknowledging 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.

Assessment and 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 you with our written reasons for the outcome of your complaint (“IDR Response”) no later than 30 calendar days after receiving your complaint, where:

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

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.

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, or you do not receive a response to your complaint within 30 calendar days you can escalate your complaint to 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 41617.

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.