



Mason Stevens

Complaints Handling and Dispute Resolution Policy

- Client information



Mason Stevens Limited, ABN 91 141 447 207, AFSL 351578 (**Mason Stevens**), is committed to providing our clients with the highest levels of service.

Your feedback is important to us, and we understand that there may be a time when you may feel dissatisfied with the product or service that we provide and would like to make a complaint.

This document provides you with information on how complaints are managed at Mason Stevens and outlines how we will handle your complaint and ensure your concerns are resolved.

Our policy

Mason Stevens has established an internal process for handling complaints, with the view to ensuring the prompt, fair and effective resolution of complaints.

Mason Stevens takes complaints seriously as they provide us with information to allow us to improve our products and services.

The process for handling complaints is designed to:

- recognise and protect the rights of clients, including the right to complain.
- provide an efficient, fair and accessible mechanism for resolving client complaints.
- provide a means by which clients are informed of the complaints handling process available to them.
- monitor complaints and their causes to improve the quality of and client satisfaction with, the financial products or services provided by us.
- ensure complaints are dealt with in confidence.

Our complaint handling process is a free service and has been established in accordance with the Australian Securities and Investments Commission (**ASIC**) Regulatory Guide 271, and the Australian Standard on Complaints Handling AS/NZS ISO 10002:2014.

For the complaint handling process for Mason Stevens Super, please refer to the superannuation trustee, Diversa Trustees Limited, [Diversa Complaints Policy](#).

Our commitment to you

Mason Stevens is committed to resolving your complaint in the shortest timeframe possible. As soon as we receive your complaint, we will acknowledge its receipt and investigate the situation to work towards a resolution.

We will do everything we can to resolve your complaint as quickly as possible. If you believe your complaint has not been resolved to your satisfaction or has not been dealt with within the following timeframes:

Complaint type	Maximum timeframe	Responsibility
All non-superannuation complaints (i.e. managed discretionary accounts, self-directed portfolio, non-super related complaints)	No later than 30 calendar days after receiving the complaint	Mason Stevens Limited
Superannuation complaints – not related to death benefits distributions (i.e. superannuation/pension complaints)	No later than 45 calendar days after receiving the complaint	Diversa Trustees Limited
Superannuation complaints relating to death benefit distributions	No later than 90 calendar days after receiving the complaint	Diversa Trustees Limited

We aim to resolve most issues within five business days. However, we want to ensure that any complaint is properly considered and resolved, so if your situation is more complex it may take longer to resolve. If that is the case, we will keep you informed of our progress, including an indication of the steps to be taken to address the matter and the likely timeframe for resolution. We will make every effort to resolve the matter within 30 days of being notified.

How to lodge a complaint

If you have a concern or complaint, you can contact us at any time on the contact details below.

Phone: 1300 98 88 78, Monday – Friday, 8:30am – 5:30pm (AEST)

Email: wealth@masonstevens.com.au

In writing:

Complaints Officer
Mason Stevens Limited
Level 26
420 George Street
Sydney NSW 2000

To assist us in helping you, please provide the following information:

- your name and the name of your account held with Mason Stevens
- your phone number and/or email address
- details of the matter, such as dates on which events occurred and a description\
- any questions you want answered
- an indication of what you would like us to do
- any supporting documents about the matter.

If you phone, your call will be answered by one of our Client Services team members who will take the details of your complaint and refer it to the Complaints Officer.

Our investigation process

The following is a summary of the steps we generally take when resolving complaints:

- Obtain details of the situation to determine the nature of the complaint
- Investigate the complaint objectively to ensure the matter is dealt with fairly and reasonably
- Determine the most effective course of action for a resolution
- Communicate with the complainant and detail the proposed resolution
- Implement a course of action
- Finalise records and send correspondence to the complainant.

If your complaint relates to privacy

If you wish to make a complaint about how your personal information has been handled by Mason Stevens or you wish to access or correct the personal information we hold, please contact our Privacy Officer by email on wealth@masonstevens.com.au.

If your complaint is not resolved to your satisfaction, you may contact the Office of the Australian Information Commissioner on the information below:

Phone: 1300 363 992, Monday – Thursday, 10am – 4pm (AEST)

In writing:

Officer of the Australian Information Commissioner
GPO Box 5288
Sydney NSW 2001

If you are unhappy with our response

If you believe your complaint has not been satisfactorily dealt with or if you have not received a response within 30 days, you can contact us directly or you may wish to contact the Australian Financial Complaints Authority (**AFCA**). AFCA provides fair and independent financial services complaint resolution that is free to consumers.

Mason Stevens is a member of AFCA (membership number 15155).

The contact details for AFCA are:

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