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Internal Complaints Handling & Dispute Resolution

Effective 5 October 2021, it is a legislative requirement that Fenton & Associates make available its Complaints Handling & Disputes Resolution policy on our website.

Fenton & Associates policy and process is as follows:

What we will do

If we receive a complaint directly from a client, we will act professionally and inform the client that the matter will be investigated and they will be contacted to discuss and, if possible, resolve the complaint within three days of receipt of the complaint.

The complaints handling process

Fenton & Associates Internal Dispute Resolution Policy comprises an internal handling process that meets the Australian Securities & Investment Commission (ASIC) regulatory guide (RG) 271 and membership of an ASIC approved external disputes resolution scheme, namely, the Australian Financial Complaints Authority (AFCA).

The Policy is as follows:

1. We recognise a complaint as opposed to an enquiry for information – if a client contacts us and we determine that they have a grievance about their situation then we record this as a complaint. The client does not need to put their complaint in writing, it can be received verbally.
2. If a complaint is identified, the Responsible Manager must be advised at the earliest opportunity and within 48 hours.

The Responsible Manager will record the details of the matter in the Complaints Register and Record of Complaint Form, will then review the matter and seek to resolve it within 3 days from the date of receipt of the complaint.

3. At the end of the timetable for resolution, prescribed by RG271 to be within 30 days of receipt of the complaint, the Responsible Manager must determine whether the complaint has been resolved to the satisfaction of the client or whether more action is required.
4. If the matter is resolved by this stage the Responsible Manager will confirm the outcome(s) with the client in writing, by way of email or letter, and record the outcome(s) in the Complaints Register.
5. If the matter is not resolved by this stage the Responsible Manager will inform the client that Fenton & Associates is a member of the Australian Financial Complaints Authority (AFCA) and that the client is therefore entitled to take the matter to that body if they are not satisfied with the licensee's efforts to resolve the matter within the 30 day timetable for resolution.
6. The Responsible Manager will then coordinate the applicant's registration and involvement with the external complaints handling scheme, AFCA, who will then take over management of the complaint.