



MDNA

M A R K E T S

**Complaint Management
Policy**

Complaint Management Policy

DNA Markets (“we’ or ‘us’) is committed to providing superior customer service to its clients. If you are dissatisfied with any aspect of the products and/or services we have provided, please contact us so that we can investigate your complaint and/or answer any questions you might have.

This Complaint Management Policy (‘the Policy’) sets out how we manage the complaints that we receive. The Policy has been prepared in line with the requirements set out in the Australian Securities and Investments Commission (ASIC) Regulatory Guide 271: Internal Dispute Resolution. Should you have any questions about the Policy, please contact us at support@dnamarkets.com

What is a complaint?

In line with RG 271, we consider a complaint to be an expression of dissatisfaction made to or about an organisation, related to its products, services, staff or the handling of a complaint, where a response or resolution is explicitly or implicitly expected or legally required.

Lodging your complaint

You may lodge your complaint in any of the following ways:

- by email;
- by telephone;
- by post;
- via our social media platforms; or
- by messaging us on LiveChat.

For us to assist you most efficiently, we would recommend that you:

- notify our Customer Services team and/or your Account Manager of the details of your complaint as soon as possible;
- where applicable, compile and send us any documents that relate to your complaint; and
- let us know your preferred method of contact.

Our friendly Customer Services team can provide any additional assistance you require and guide you through the process.

Acknowledging your complaint

We will acknowledge your complaint as soon as possible, but in any event **within 24 hours (or one business day)** of receiving it.

Assessing and investigating your complaint

Your complaint will be assessed and investigated by our Customer Services team, who will attempt to resolve the complaint directly with you.

If our Customer Services team is unable to resolve your complaint within **5 calendar days** of receiving it, or if you are not satisfied with their proposed resolution, your complaint will be referred to our Compliance team. They will conduct a further independent review and investigation and provide you with a comprehensive and final response.

Please take note that we have up to **30 calendar days** to investigate and respond to your complaint from the date we received it. We will ensure to communicate with you throughout this time and, if required, ask for further information.

DNA Markets is not required to provide a response within the 30-day period if certain circumstances exist:

- If a resolution of the complaint is particularly complex; and/or
- If circumstances beyond our control are causing complaint management delays.

If we are unable to respond to your Complaint within 30 days, we will contact you before the 30 day period ends to inform you of:

- the reasons for the delay;
- your right to complain to the Australian Financial Complaints Authority (AFCA) if you are dissatisfied; and
- the contact details for AFCA

Escalating your complaint

If you are not satisfied with the outcome of our investigation of your complaint, you may refer your complaint to AFCA. AFCA are an independent External Dispute Resolution Scheme approved by ASIC. You can find more information about the AFCA complaints process on their website www.afca.org.au.

Please be aware that AFCA will not consider your complaint until we have had the opportunity to consider it first.

Contacting AFCA

Postal: GPO Box 3, Melbourne, VIC 3001, Australia

Phone: 1800 931 678

Fax: (03) 9613 6399

E-mail: info@afca.org.au

Website: www.afca.org.au