

Samuel Terry Asset Management Pty Limited

AFS Licence No 278294

ABN 71 108 611 785

SUMMARY OF COMPLAINTS HANDLING PROCEDURES INFORMATION FOR CLIENTS

Samuel Terry Asset Management Pty Ltd (“STAM”) offers clients Internal Complaints Procedures. Clients are encouraged to try to resolve any complaints or disputes by following these procedures.

Complaints may be made verbally or in writing. STAM will attempt to deal with your complaint in a prompt and efficient manner. STAM will follow the procedures outlined below to ensure that your complaint is resolved within a period of 28 days (where possible). Some complaints can be resolved more quickly depending on the facts and the nature of the complaint. If the complaint is more complex and takes longer than 28 days, we will communicate the reasons for the delay.

Our Chief Operating Officer will assist you, if required, in making your complaint so that all relevant facts are provided.

Complaints can be registered with STAM by telephone, in writing or email and should be addressed to:

Compliance Manager
Samuel Terry Asset Management Pty Ltd
Level 6, 151 Macquarie Street
SYDNEY NSW 2000
Australia

Tel: +61 2 90669240
Email: invest@samuelterry.com.au

The following process will be followed to review and investigate your complaint under our Internal Complaints Procedures:

- (i) once a complaint is communicated to STAM, our Compliance Manager will listen to your complaint or review your written complaint and ascertain the key issues of your complaint. The Compliance Manager reviews and investigates all written complaints;
- (ii) the Compliance Manager will ask you to provide specific or additional information so that he can ascertain all relevant facts. You are invited to provide as much information as you think is relevant to the complaint;

- (iii) the Compliance Manager will confirm the key issues of your complaint either verbally or in writing and keep in regular contact with you while the complaint is being investigated and you will be advised as to the current status of the investigation;
- (iv) the Compliance Manager will undertake an internal investigation based on the facts provided in your complaint;
- (v) the Compliance Manager will then deal with the complaint on the facts and contact you should any additional information be required;
- (vi) the Compliance Manager will then consider all information available regarding the complaint and STAM will either:
 - (a) accept the complaint and offer a remedy;
 - (b) offer a remedy without accepting the complaint; or
 - (c) reject the complaint and provide reasons for such rejection.
- (vii) Remedial action may range from an apology to financial compensation. Where a financial remedy is considered appropriate, the aim will be to provide fair compensation for any loss suffered;
- (viii) **STAM is not a member of an external dispute resolution scheme as we only provide financial services to wholesale clients.**