

## INVESTOR INFORMATION BROCHURE

### Complaints Handling & Dispute Resolution

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This brochure explains our process for handling and resolving investor complaints for the Platinum Trust Funds, Platinum Global Fund and the Quoted Managed Funds.

#### YOUR RIGHTS

You have a right to complain if you are not satisfied with any aspect of a financial product or service.

Platinum Investment Management Limited (“Platinum”) has established an internal process for handling complaints and ensuring the effective and prompt resolution of investor concerns.

Platinum recognises that problems sometimes do occur even if it is no-one’s fault.

#### OUR POLICY

Platinum seriously considers any complaints it receives about its product or services. We consider it an opportunity to improve our services and at the same time preserve our good reputation.

Our complaints handling process has been designed to:

- increase the level of investor satisfaction with the delivery of services and enhance the manager/investor relationship;
- recognise, promote and protect the rights of investors, including the right to comment and complain;
- provide an efficient, fair and accessible mechanism for resolving investor complaints;
- provide information to investors on the complaints handling process for the services provided by Platinum; and
- monitor complaints to improve the quality of the services provided by Platinum.

Your complaint to Platinum will be handled in the strictest confidence. We will acknowledge any written complaint within four business days and make every effort to resolve your issue within 30 days of Platinum being notified. No fees are applicable for this service.

Our complaints handling process has been designed in accordance with the Australian Standard on Complaints Handling (AS/NZS 10002:2014) and Regulatory Guide 165 released by the Australian Securities and Investments Commission.

#### HOW TO COMPLAIN TO PLATINUM

A complaint can be made by any reasonable basis including email, in writing, in person or over the phone. For investor convenience, Platinum maintains a dedicated complaints email address: [complaints@platinum.com.au](mailto:complaints@platinum.com.au)

Platinum has appointed a Complaints Officer to manage complaints from investors. The Complaints Officer is a senior member of Platinum’s management team, and has the authority to deal with your complaint. The Complaints

Officer will reply to you in writing within four (4) business days, and if possible will try to offer a solution/s to your concern/s. If the matter is more complex, our letter will outline our internal steps to address your concerns and the expected time-frame for resolution.

You may always contact the Complaints Officer to find out what is happening to your complaint.

### **Privacy Issues**

If you wish to make a complaint about how Platinum has handled your personal information, or wish to access or correct your personal information held by us, please contact the Privacy Officer - same contact details above, except that the email address is [privacy@platinum.com.au](mailto:privacy@platinum.com.au)

### **Complaint Information to be provided**

To assist us in resolving your complaint adequately, please ensure to provide the following principal information:

- Your Account number, name / organisation, and address.
- Your phone number, facsimile number and/or email address.
- Details of the problem encountered - date of occurrence and description.
- Whether you are seeking a remedy (i.e. yes or no).
- Date and signature (if possible).

### **RESOLUTION**

Our internal steps for resolving complaints is summarised as follows:

1. Gather details to determine the nature of the complaint.
2. Confirm what went wrong.
3. Consider the most effective course of resolution.
4. Communicate and discuss proposed resolution with complainant.
5. Agree to plan of action with complainant.
6. Ensure matter has been dealt with fairly and reasonably.
7. Finalise internal records and correspondence to complainant.

### **DON'T AGREE WITH OUR SOLUTION?**

If an issue has not been resolved to your satisfaction, you can lodge a complaint with the Australian Financial Complaints Authority, or AFCA. AFCA provides fair and independent financial services complaint resolution that is free to consumers.

Website: [www.afca.org.au](http://www.afca.org.au)  
Email: [info@afca.org.au](mailto:info@afca.org.au)  
Telephone: 1800 931 678 (free call)  
In writing to: Australian Financial Complaints Authority, GPO Box 3, Melbourne VIC 3001

## **YOUR FEEDBACK IS VALUABLE TO US**

Platinum is always happy to receive investor feedback, good or bad, on our services and financial products. Please do not hesitate to let us know what you think.

*Phone our Investor Services staff:*

1300 726 700 (*Australian only*)

0800 700 726 (*New Zealand only*)

61 2 9255 7500

*Postal Address:*

Platinum Asset Management

GPO Box 2724

Sydney NSW 2001

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