

IconiQ Complaints Policy

At Ventura Investment Management Ltd ('Ventura'), we are committed to customer focused, effective and efficient complaint handling. We strive to address each complaint genuinely, promptly, fairly and consistently, to ensure each complaint is treated in an un-biased manner, and all allegations are investigated thoroughly.

This document provides information about our dispute resolution process including how and where complaints may be made and how and when we will communicate with you about resolving your complaint.

If you have a complaint about:

- Ventura Investment Management Ltd;
- IconiQ Investment;
- IconiQ SMA;
- one of our service providers; or
- another product issued or distributed by us,

we would like to hear from you.

IconiQ

Operator:

Ventura Investment Management Ltd

ABN 49 092 375 258

Australian Financial Services Licence No. 253045

Date: 14 October 2024

Ventura Investment Management Ltd

Complaints Policy

How you can lodge a complaint	<p>If you wish to make a complaint, please contact the Complaints Team on the information below:</p> <p>Mail: Complaints Manager, Centrepoint Alliance Level 13, Corporate Centre One, 2 Corporate Court, Bundall QLD 4217</p> <p>Phone: 1800 653 244 (free of charge)</p> <p>Online: www.centrepointalliance.com.au</p> <p>Our complaint process is free of charge to you. Your complaint does not need to be in writing. If you require any assistance to lodge your complaint, please let us know. You may also choose to authorise a representative to make a complaint on your behalf.</p> <p>We are bound by the Privacy Act, and we manage and protect your personal information in accordance with the Australian Privacy Principles. We will require certain personal information from you in relation to your complaint and we will use that information for the purposes of investigating your complaint.</p>
How we will deal with your complaint	<p>We will respond to your complaint in a timely and flexible manner. Our goal is to ensure the earliest possible resolution and we will try to resolve your complaint wherever possible at the first point of contact.</p> <p>We will ensure you have the opportunity to explain your complaint. To this end we ask that where possible, that you provide the following information about your complaint:</p> <ul style="list-style-type: none">• your full name and contact details• your date of birth• if relevant, your financial adviser's name• the names of any service providers, such as any investment or insurance associated with your complaint• any identifying account numbers or other references, such as an investor number, policy number or superannuation account number• supporting documentation and• the resolution you are seeking. <p>We will address your complaint fairly and consistently, treating each complaint in an un-biased manner, and ensuring all allegations are investigated thoroughly. We will inform the financial adviser or service provider involved about your complaint and ask them to respond to us.</p> <p>Once your complaint is resolved any agreed outcomes will be implemented in a timely manner.</p>
How and when we will communicate with you about your complaint	<p>We will acknowledge the receipt of your complaint within 1 business day verbally or in writing. Where this is not possible, acknowledgement will be made as soon as possible.</p> <p>We will investigate your complaint promptly and respond to you within 30 calendar days. Our response will include:</p> <ul style="list-style-type: none">• the outcome of your complaint including the actions taken to resolve it• the reasons for our decisions and• information about your rights if you are not satisfied with the resolution.

	<p>If we are able to resolve the complaint to your complete satisfaction within 5 business days, we may not provide a written response unless you request a response in writing.</p> <p>Some complex matters may require additional time to thoroughly investigate the complaint and bring it to a resolution. Where additional time is required, we will advise you in writing within 30 calendar days of receiving the complaint. We will explain the reasons for the delay.</p> <p>We will communicate openly throughout the process.</p> <p>If you are not satisfied with the resolution of your complaint, you can lodge a complaint with the Australian Financial Complaints Authority (AFCA) at any time.</p>
Your right to lodge a complaint with AFCA	<p>If an issue has not been resolved to your satisfaction, you can lodge a complaint with AFCA. AFCA provides fair and independent complaint resolution that is free to consumers. The contact details for AFCA are:</p> <p>Mail: GPO Box 3, Melbourne VIC 3001</p> <p>Phone: 1800 931 678 (free of charge)</p> <p>Email: info@afca.org.au</p> <p>Online: www.afca.org.au</p>

IconiQ Investment

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www.iconiqwrap.com.au

Ventura Investment Management Limited

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