

Information for Clients

AW Fintech Pty Ltd seeks to maintain and enhance our reputation for providing you with high quality products and services. AW Fintech is committed to being responsive to the concerns of our customers and to resolving your complaint as quickly as possible through the internal Complaints Handling Procedure.

Complaints may be made verbally or in writing. AW Fintech will attempt to deal with your complaint in a prompt and fair response to any complaint that you may bring to our attention. AW Fintech will follow the procedure outlined below to ensure that your complaint is resolved within a period of 45 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 45 days, we will inform you of the reasons for the delay and specify a date when we will be able to finalise your complaint.

Our dealing team will assist you to make your complaint so that all relevant facts are provided. You can contact our dealing team through any of the contact details below:

AW Fintech Pty Ltd

Address: Suite 902, Level 9, 821 Pacific Highway, Chatswood, NSW 2067, Australia

Email: support@awfintech.com

Phone: +61 2 9017 5200

The following process will be followed to review and investigate your complaint under our internal Complaints Handling Procedure:

- i. Once a written complaint is lodged to AW Fintech, your appointed dealer or dealing team manager will contact you and investigate the key issues of your complaint.
- ii. Your appointed dealer or dealing team manager will need to seek specific or additional clarification or documents from you to assist us in resolving your complaint. You can provide as much information as you think which is relevant to the complaint verbally or in writing. Your appointed dealer or dealing team manager will confirm the information with you.
- iii. Your appointed dealer or dealing team manager will undertake an internal investigation based on the facts provided and will keep in contact with you while the complaint is being investigated and you will be advised as to the status of the investigation.
- iv. Your appointed dealer or dealing team manager will deal with the complaint on the facts and contact you should any additional information be required.

- v. Your appointed dealer or dealing team manager will consider all information available regarding the complaint and AW Fintech 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.

- vi. Once the investigation confirms that it is our mistake that caused you inconvenience, financial compensation might be applicable (subject to case detail) apart from AW Fintech's sincere apology, to cover any loss suffered.