

INTERNAL COMPLAINTS PROCESS

As a Financial Advice Provider (FAP), under the Financial Services Legislation Amendment Act 2018 we are required to be a member of an External Dispute Resolution service. Our External Dispute Resolution service is **Financial Services Complaints Ltd.**

We are also required to and have an internal compliant dispute process. This means that, if you have a complaint of any type about our services or our products, you are encouraged to notify us of your complaint and we will attempt to resolve it internally before it is referred to our external dispute resolution service.

What Is A Complaint?

A complaint means a statement of dissatisfaction communicated to you by a client about your financial advice service, other than a statement of dissatisfaction that is trivial or vexatious or that the client indicates is not intended to be a complaint.

How To Notify Us

You can notify us if you have a complaint by any means you choose, either verbally, by telling us, or by emailing us at garry@tsibrokers.co.nz setting out your complaint.

How Your Complaint Will Be Handled

When we receive your complaint, the person you complain to will initially consider it and attempt to resolve the complaint with you. This will normally be the person you were dealing with at our organisation.

If, on this first contact, the complaint cannot be resolved to your satisfaction, the person you have initially complained to will escalate the complaint to their manager. This will happen within five working days of the complaint being notified to us.

Once the complaint has been received by the manager, that person will contact you. The manager will again try to resolve the complaint to your satisfaction. It is important that you provide this person with all relevant information. If the manager cannot resolve the complaint to your satisfaction, the manager will refer you to our external dispute resolution scheme.

What if I do not want to raise the dispute with the person I dealt with?

There may be cases in which you do not feel comfortable discussing your concerns with the person who you were dealing with. This may be because it is that person's conduct that is in question.

That should never prevent you from making a complaint. You should feel free to contact the Complaints Manager of our organisation who is Garry Bray, who will be happy to deal directly with you and to investigate and attempt to resolve your complaint.

Who is our external dispute resolution scheme?

Our external dispute resolution scheme is:

Name: **Financial Services Complainants Ltd**

Address: **Level 4, 101 Lambton Quay
Wellington 6011**

Email: **complaints@fscl.org.nz**

Phone: **0800 347 257**

Complaints process

The complaints process can be summarised as follows:

