



# UBS Asset Management Complaints Handling Policy

This Policy has been prepared by **UBS Asset Management (Australia) Ltd** ("UBS AM") in respect of all registered managed investment schemes ("UBS AM Funds", "Schemes" or "Funds") of which UBS AM is the responsible entity.

This Policy is designed to meet the requirements of section 912A(2) of the Corporations Act and ASIC Regulatory Guide 271 "Internal dispute resolution" and is available to both direct investors and investors who invest via an Investor Directed Portfolio Service.

## How to lodge a complaint

You may lodge a complaint in writing or by calling Client Services on (03) 9046 4041 or freecall on 1800 572 018.

If you wish to lodge a complaint in writing you may send it by post or email to:

**Postal Address:**

UBS Asset Management (Australia) Ltd  
Level 16,  
Chifley Tower  
2 Chifley Square  
Sydney NSW 2000

**Email Address:**

[ubs@unitregistry.com.au](mailto:ubs@unitregistry.com.au)

## *The options available to assist complainants who might need additional assistance to lodge a complaint.*

UBS AM recognises you may require assistance to lodge a complaint. If you do require assistance, please contact our Client Services who will discuss your options which may include:

- Connecting you with our staff who may be able to help with language
- Providing a facility for you to email your complaint
- Assisting you with lodging your complaint by telephone – your complaint does not need to be in writing
- Communicating with your authorised representative who may lodge a complaint on your behalf

## Handling your complaint

UBS AM will acknowledge your complaint within 24 hours (or one business day) of receiving it, or as soon as practicable.

We will also aim to resolve your complaint promptly and to provide a final response to your complaint within 30 calendar days of receipt.

If you are not satisfied with how your complaint has been resolved, you may contact the Australian Financial Complaints Authority or 'AFCA' on their freecall number 1800 931 678. AFCA is the external dispute resolution (EDR) scheme established to deal with complaints from consumers in the financial system. It is operated by a not-for-profit company limited by guarantee authorised by the Minister for Revenue and Financial Services.

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