TF GLOBAL MARKETS (AUST) PTY LTD

Dispute Handling

Document	Dispute Handling
Entity	TF Global Markets (Aust) Pty Ltd
Regulator	Financial Markets Authority (FMA), New Zealand
FSP number	FSP623289
NZBN	9429050705597

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Subject: Dispute Resolution

This document sets out the procedures for Dispute Handling.

- Dispute Handling Policy
- Dispute Resolution Procedures

  o Lodge Dispute

  o Record and Respond to Dispute

  o Resolve Dispute

  o Remedies

  o Final Step

Dispute Handling Policy

TF Global Markets (Aust) Pty Ltd defines a complaint as an expression of dissatisfaction made to us, related to our products or services, or the complaints handling process itself, where a response or resolution is explicitly or implicitly expected.

Dispute Resolution Procedures

1. Lodge Dispute:

1.1. If clients wish to lodge a complaint, they need to inform Support team or their account managers via email or phone, providing all related documents and details. The compliant will be reviewed, and the initial contacts should attempt to resolve it at the first level. Line manager might be involved to help resolve the issue.

If the issue cannot be resolved at first level, it must be escalated to Compliance team for further investigation. A formal complaint should be lodged to compliance@thinkmarkets.com.

2. Record and Respond to Dispute:

2.1. When a formal complaint is lodged, registered in the Complaints Register. Only Compliance personnel has access to this folder

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2.2. A written acknowledgement of receipt will be sent to the complainant within 2 business days. The complaint must be resolved within 21 days. The Complainant must be provided with reasons if the complaint takes longer than 21 days.

3. Resolve Dispute:

3.1. Consult with relevant department and seek for legal advice if required, collect all supporting information/documents/conversation regarding the dispute. Draft a written response and send to relevant department for final checks.

3.2. Until a complaint is finalized, we must:

- maintaining contact with the complainant to ensure that they are informed of the progress of their complaint;

- ensuring that the complaint is open until it is either satisfactorily resolved or the complaint is withdrawn by the complainant;

- maintaining the Complaint Files, including copies of all enquiries, information, documentation, investigations, and decisions; and

- Liaising with TF Global Markets (Aust) Pty Ltd professional indemnity insurer.

4. Remedies:

Once the complaint is resolved, the Dispute Resolution Manager must provide the complainant with a final written response which must include reason for acceptance or rejection of the complaint and the offered resolution .

TF Global is a member of an independent dispute resolution scheme operated by Insurance & Financial Services Ombudsman Scheme (IFSO). Under the scheme, TF Global has 21 days to respond to the complaint. If complainant is not satisfied with our response, client may refer the matter to IFSO. Full details of how to access the IFSO scheme can be found on the website (www.ifso.nz). There is no cost to use the services of IFSO.

5. Final Step

Updated Complaint Register with details of Conclusion, Status and Date Resolved.

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