

<p><b>Application of Policy:</b></p>	<p>Global</p> <p>This Policy sets out the process that is followed by all Personnel and every member of the Group when addressing complaints from our clients or other people. Where the Group operates in an overseas jurisdiction that imposes a higher standard, or a member of the Group has adopted its own policy which adopts a higher standard. Those local standards or the local policy are deemed to be incorporated into and supplement this Policy and in the event of a conflict supersede this Policy.</p>
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**Definitions:** Capitalised terms used throughout this Policy are defined in paragraph 6

## 1. Overview

The Group is committed to taking all feedback, in particular all complaints that we receive, seriously. We believe that dealing appropriately with a complaint provides an opportunity for us to improve our services and preserve our good reputation.

The purpose of this Policy is to demonstrate our commitment to resolving complaints, and to outline how clients and other interested parties can bring their concerns to our attention.

The Group has designed a complaints handling process that aims to:

- (a) increase the level of satisfaction with the delivery of our services;
- (b) provide an efficient, fair and accessible mechanism for resolving complaints;
- (c) provide information on the Group’s complaints handling process; and
- (d) monitor complaints to improve the quality of the services provided by the Group.

## 2. How to make a complaint

### 2.1. Phone or Post

You can contact the person you have been dealing with directly at the Group by calling the phone numbers listed at Appendix 1 or by posting details of your complaint to the listed address for your region.

## 2.2. Email

Email details of your complaint addressed to the regional Complaints Officer (Appendix 1) at: [complaints@omnibridgeway.com](mailto:complaints@omnibridgeway.com).

## 2.3. Complaint Details

To help us investigate and resolve your complaint effectively, please provide the following information with your complaint:

- (a) your full name, address and contact phone number(s);
- (b) your claimant ID number and the matter you are involved in (if applicable);
- (c) a description of your complaint;
- (d) any additional documentation or information that may support your complaint and assist us to resolve it; and
- (e) how you would like your complaint to be resolved.

## 3. Complaints handling process

If your complaint cannot be resolved at first contact, we will aim to acknowledge your request immediately, or if this is not possible as soon as practicable after receipt of the complaint.

We will also keep you updated throughout the resolution process.

We endeavor to resolve all complaints within 30 days.

If you are dissatisfied with the process we have taken to resolve your complaint or with the result of our investigation, please let us know and we will undertake a further review of your concerns.

If you are still dissatisfied with the outcome, you may be able to refer your complaint to an independent alternative dispute resolution process available for your country of residence once you have been through our internal complaint process. We will let you know how you may do this and whether other options are available when we provide our final response to you.

Details of our Complaints Handling Procedures can be provided on request using the contact details listed at Appendix 1.

## 4. Training and Monitoring

The Group will provide initial training in relation to the Policy and thereafter on a periodic basis. The Group will put in place compliance and monitoring programs to review the Group's compliance with the requirements of the Policy.

## 5. Review and Amendment of this Policy

This Policy will be reviewed periodically by the Board to check that it is operating efficiently

and whether any changes are required.

Any amendments to this Policy, other than updates for changes in the Company's branding or position titles, must be approved by the Board.

## 6. Definitions

Defined terms used in this Policy have the following meanings:

<b>Term or Abbreviation</b>	<b>Definition and Explanation</b>
<b>Board</b>	means the board of directors of the Company.
<b>Company</b>	means Omni Bridgeway Limited (ABN 45 067 298 088).
<b>Group</b>	means the Company and its related bodies corporate (as that term is defined in section 9 of the <i>Corporations Act 2001</i> (Cth)).
<b>Personnel</b>	means all full-time, part-time or casual staff, consultants, contractors, subcontractors, secondees, apprentices, trainees, work experience students, volunteers, employees of contractors or subcontractors, outworkers and directors of or to the Company.
<b>Policy</b>	means this health and safety policy.

**This Policy was approved by the board of directors of the Omni Bridgeway Limited to be effective on 26 June 2020.**

## Appendix 1: Contact details for Complaints

### APAC

<b>Complaints Officer:</b>	The Complaints Officer for the APAC Region is the Chief Risk Officer (CRO)
<b>Phone:</b>	Client Liaison Team on 1800 016 464 (freecall within Australia) or +61 8 9225 2322
<b>Email:</b>	<a href="mailto:complaints@omnibridgeway.com">complaints@omnibridgeway.com</a>
<b>Post</b>	Omni Bridgeway Client Liaison Team – Complaints PO Box Z5106 St Georges Terrace PERTH WA 6831

Independent Australia External Dispute Resolution Body:

The Australian Financial Complaints Authority:

[www.afca.org.au](http://www.afca.org.au)

Freecall: 1800 931 678

### North America

<b>Complaints Officer:</b>	The Complaints Officer for North America (NA) is the Chief Compliance Officer (CCO)
<b>Phone:</b>	North America Complaints Officer +(212) 488-5331
<b>Email:</b>	<a href="mailto:complaints@omnibridgeway.com">complaints@omnibridgeway.com</a>
<b>Post</b>	Omni Bridgeway 437 Madison Avenue 19 <sup>th</sup> Floor, New York, New York 10022 USA Attn: Corporate Counsel, Chief Compliance Officer.

### EMEA

<b>Complaints Officer:</b>	The Complaints Officer for EMEA is the General Counsel EMEA
<b>Phone:</b>	EMEA Complaints Officer +31 70 338 4343
<b>Email:</b>	<a href="mailto:complaints@omnibridgeway.com">complaints@omnibridgeway.com</a>
<b>Post</b>	Omni Bridgeway Schiphol Boulevard 121 1118 BG, Schiphol The Netherlands Attn: EMEA Complaints Officer