

**GI Asset Management Limited**

**ABN 77 161 434 779: AFS licence 432510**

**Complaints Handling Guide**

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**About this guide**

In this guide, when the terms "we", "our" or "us" are used, it means GI Asset Management Limited (GIAM).

This guide is designed to assist you in accessing our dispute resolution procedures if you wish to make a complaint about the products we provide or the service you have received.

Please note, this guide is not intended for clients who have invested in a product issued by us through an administration service, e.g., a wrap or platform. If you have invested through an administration service and you have a complaint, then you should contact the operator of that service for the resolution of your complaint.

**What is a complaint?**

A complaint is any expression of dissatisfaction with a product or serviced offered or provided.

**How we handle complaints**

If you have a complaint about any of the products or services provided to you, then consider the following:

1. **Lodging a complaint**—Depending on the nature of your complaint, you can make your complaint by telephone or in writing to GIAM at the following:

Street address: Level 2, 56-58 Nerang Street  
Southport Qld 4215  
Australia

Postal address: PO Box 956  
Southport BC QLD 4215  
Australia

Telephone: + 617 5557 4700

Facsimile: + 617 5591 4375

Email [admin@giasset.com](mailto:admin@giasset.com)

To help us assess your complaint and address your concerns, we request you—

- (a) think about the questions you would like us to answer
- (b) tell us what you consider would be a reasonable response/outcome to the complaint, and
- (c) gather and provide us with all of the supporting documentation (including a Complaint Form if one has been completed) relevant to the complaint.

A Complaint Form is attached to this guide and you may use this form to register your complaint with us. Completion of the Complaint Form is not compulsory. In assessing your complaint, we may request further information from you.

2. ***How complaints are processed***—all complaints are acknowledged within **five days** of receipt. We will attempt to resolve your complaint within **28 days** after acknowledgement of the complaint. All complaints must be resolved by internal procedures, or referred to external dispute resolution within **45 days** of initial receipt.

If resolution of the complaint is not possible within **28 days** after acknowledgement of the complaint, then we will contact you monthly with the progress of the complaint and provide a further estimate of when the complaint may be resolved. We must substantially respond to your complainant within **45 days** of receipt of the complaint.

3. ***Other avenues***—if you are not satisfied with the outcome of your complaint, the way we have handled it or if a resolution cannot be reached, then you have the following alternatives available to you:

- (a) Product and service related complaints can be referred to—

**Australian Financial Complaints Authority**

Postal address: Australian Financial Complaints Authority  
GPO Box 3  
Melbourne VIC 3001

Telephone 1800 931 678 (free call)

Email: [info@afca.org.au](mailto:info@afca.org.au)

- (b) Privacy related complaints can be further referred to—

**Office of the Federal Privacy Commissioner**

Address: Director of Compliance  
GPO Box 5218, Sydney NSW 1042

Telephone: 1300 363 992

- (c) You can also make a complaint to—

**Australian Securities and Investments Commission**

Telephone: 1300 300 630

Internet: [www.asic.gov.au](http://www.asic.gov.au)

**Complaint Form**



**LIFE SETTLEMENTS**  
FUNDS

**Complaint form**

**GI Asset Management Limited ACN 161 434 779**  
**AFS licence no. 432510**

**Complainant details**

<b>Name</b>	<input type="text"/>	<input type="text"/>															
	Title	Given name(s)															
<b>Contact details</b>	<input type="text"/>																
	Surname																
	<input type="text"/>																
	Email address																
	<input type="text"/>																
Mailing address																	
<input type="text"/>					<input type="text"/>					<input type="text"/>					<input type="text"/>		
Daytime phone number					After hours phone number					<input type="text"/>							
<input type="text"/>					<input type="text"/>					<input type="text"/>							
Facsimile					Mobile number					<input type="text"/>							

**Preferred method of reply**    Email     Mail     Telephone     Mobile     Facsimile

**Details of your complaint**

Who or what is the complaint about?	<input type="text"/>
	<input type="text"/>
Please explain your complaint and describe the events in the order they happened. Include dates wherever possible.	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
What do you consider would be a reasonable response / outcome to your complaint?	<input type="text"/>
	<input type="text"/>
	<input type="text"/>

Signature of Complainant

Date (day / month / year)

/  /

Please return the completed form to—

GI Asset Management Limited  
PO Box 956  
Southport BC QLD 4215  
Australia