

## IWIinvestor - Complaints Procedure

1. Complaints must be in writing and addressed to the:  
The Manager  
IWIinvestor  
P O Box 688  
TAUPŌ 3351
2. The following information should be provided
  - Formal Complaint form completed
  - Name and contact details of complainant
  - Name of member against whom the complaint is directed
  - A brief description of any alleged misconduct
  - Whether the member has been formally notified of the complaint and any response received
  - Whether the complaint has been referred to any other regulatory body or government authority or whether legal proceedings have commenced.
3. The complaint is recorded in IWIinvestor's complaints register.
4. The Manager will:
  - Acknowledge receipt of the complaint in writing to the complainant within 2 working days
  - Keep a record of progress of the complaint
  - Supply a copy of the complaint and supporting documentation to the adviser seeking an explanation from them
  - If the adviser's explanation does not satisfy the complainant, refer copies of the complaint and any correspondence to the Board. It is normal practice for each party to the complaint to receive a copy of submissions made by the other party.
5. A full investigation of the complaint will be made by the Board (through delegation) Investment Committee, which may:
  - a) dismiss the complaint, or
  - b) decide the evidence is sufficient to warrant taking the complaint to an external mediator.



6. If we cannot agree on how to fix an issue, or if you decide not to use the internal complaints scheme, you can contact the Financial Dispute Resolution scheme. This service will cost you nothing, and will help us resolve any disagreements. You can contact the Financial Dispute Resolution scheme at:

Address: Level 9, 109 Featherston Street, Wellington 6011  
Freepost 231075  
P.O. Box 5730  
Wellington 6145

Email: [enquiries@fdr.org.nz](mailto:enquiries@fdr.org.nz)

Phone: 0508 337 337

Fax: 04 918 4901