

## IWIinvestor - Complaints Procedure

Complaints must be in writing and addressed to the:

The Manager  
IWIinvestor  
PO Box 688  
TAUPŌ 3351

The following information should be provided:

- Name and contact details of complainant
- Name of staff member against whom the complaint is directed if relevant
- 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.

The complaint is recorded in IWIinvestor's complaints register.

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 staff members 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.

A full investigation of the complaint will be made by the Board (through delegation) Investment Committee, which may:

- dismiss the complaint, or
- decide the evidence is sufficient to warrant taking the complaint to an external mediator.

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, PO Box 5730, Wellington 6145

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

Phone: 0508 337 337