

Version	2
Approved by	DFM Board 15 Nov 2024
Date	8 November 2024
Endorsed by	

Diogenes Funds Management Ltd Complaints Policy

1. Introduction

Diogenes Funds Management Ltd (DFM) is committed to providing high-quality services to its investors and stakeholders. As a Responsible Entity managing retail managed investment schemes, DFM recognizes the importance of addressing complaints in a professional, efficient, and transparent manner. This policy outlines the processes and responsibilities for managing complaints in compliance with regulatory obligations under the **Corporations Act 2001 (Cth)**, Australian Financial Services Licence (AFSL) and Australian Securities and Investments Commission (ASIC) guidelines.

2. Scope

This policy applies to all complaints received by DFM from retail investors, stakeholders, or other parties in relation to its role as a responsible entity of managed investment schemes. The policy is designed to ensure that all complaints are handled fairly, promptly, and consistently, in line with DFM's commitment to acting efficiently, honestly, and with efficacy.

3. Objectives

- To provide an accessible and transparent process for the resolution of complaints.
- To ensure that all complaints are handled promptly, fairly and without bias.
- To comply with all relevant regulatory requirements, including ASIC Regulatory Guide 271 (RG 271) regarding internal dispute resolution.

4. Definition of a Complaint

A complaint is an expression of dissatisfaction made to or about DFM related to its products, services, staff or the handling of a complaint, where a response or resolution is explicitly or implicitly expected or legally required. A complaint may be made verbally or in writing.

5. Complaints Handling Process

5.1 Acknowledgement of the complaint

An acknowledgement of the complaint will be made within **one business day** after receipt, or where this is not possible as soon as practicable. The acknowledgment can be made verbally or in writing, having regard to the method used to lodge the complaint and any preference expressed by the complainant about communication methods.

5.2 Initial Review and Assessment

- Upon receipt, the complaint will be assessed to determine its nature and complexity. If necessary, further details may be requested from the complainant to facilitate an appropriate response.
- All complaints will be handled confidentially, and the privacy of the complainant will be maintained in accordance with applicable privacy laws.

5.3 Resolution of the Complaint and Response

- Once a complaint has been received and acknowledged, DFM will attempt to resolve the complaint as soon as possible in accordance with this Policy and the internal complaints management procedure.
- A written response is not required when a complaint is resolved to the complainant's satisfaction within five business days of receipt, unless the complainant has requested a response, or the complaint is about hardship.
- For all other complaints, a written response will be sent to the complainant within **30 calendar days** after the receipt of the complaint. If the complaint is complex and requires more time, the complainant will be informed of the reasons for the delay and provided with regular updates on the progress of the resolution.
- The response will inform the complainant of the final outcome of the complaint, being either confirmation of actions taken to resolve the complaint or reasons for rejection or partial rejection of the complaint. The level of detail in the response should reflect the complexity of the complaint and the nature and extent of any investigation conducted.
- If the complaint is being rejected or partially rejected, the response will set out clear and concise reasons for the decision by identifying and addressing the issues raised in the complaint, setting out DFM's findings on material questions of fact and reference to the information that supports those findings.
- The response will include any remedial actions taken and information on how to escalate the complaint if the complainant is unsatisfied with the outcome.

6. Responsibilities

- **Compliance Officer:** The Compliance Officer is responsible for the management and resolution of complaints, maintaining the Complaints Register, and ensuring that complaints are handled in accordance with this policy and applicable legal requirements.
- **Senior Management:** Senior management will review regular reports on complaints and ensure that systemic issues are identified and addressed.
- **All Employees:** Employees are required to report any complaints received in the course of their work to the Compliance Officer.

7. Monitoring and Reporting

- The Compliance Officer will maintain a **Complaints Register** that includes details of all complaints received, their status, and outcomes.
- Regular reports will be provided to the **Board of Directors** and **Compliance Committee** regarding complaint trends, systemic issues, and the effectiveness of the complaints handling process.

8. How to make a complaint

Complaints can be made by a complainant directly or by their representative to:

Compliance Officer	Ph:	07 3473 0176
Diogenes Funds Management Ltd	E:	info@diogenesfm.com.au

9. External Dispute Resolution

Australian Financial Complaints Authority (AFCA)

Retail investors who are not satisfied with the response provided may refer the complaint to the AFCA, an external independent complaint handling body of which DFM is a member:

Australian Financial	Ph:	1800 931 678 (free call)
Complaints Authority	E:	info@afca.org.au
GPO Box 3, Melbourne VIC 3000	W:	www.afca.org.au

AFCA will not deal with complaints that have not first been referred to DFM for resolution.

Australian Securities and Investment Commission

ASIC also has an information line on 1300 300 630, which the complainant may use to make a complaint or to obtain further information about their rights.

Office of the Australian	Ph:	1300 363 992
Information Commissioner	E:	enquiries@oiac.gov.au
GPO Box 5288, Sydney NSW 2001	W:	www.oaic.gov.au

10. Review of Policy

This Complaints Policy will be reviewed by the Compliance Officer at least annually to ensure its continued effectiveness and compliance with legal requirements. Any amendments to this policy will be approved by the Board of Directors.
