



COMPLAINTS POLICY STATEMENT

This complaints policy statement relates to any complaints you may have about the financial services provided by either Catalist Markets Limited or Catalist Nominee Limited (together “Catalist”).

Our promise to you:

We recognise fair treatment of all our customers is fundamental to the success of our business. As with any investment, the value of investments held through Catalist may go down as well as up, and investments in the growth and early-stage businesses listed on Catalist can involve a high degree of risk, including potential for loss of your entire investment. Catalist cannot take responsibility for the financial performance of your investments, but we aim to provide customers with excellent customer service. We will listen to the needs of our customers and respond to complaints seriously, with sensitivity, providing redress where appropriate.

Catalist’s Complaint Process:

We have both internal and external Complaints processes. We have 5 key steps to handling a complaint. They are:

1. Acknowledge
2. Investigate and resolve giving timelines
3. Advise client of outcome
4. Escalation for unresolved complaints –refer client to our Disputes Resolution Provider FSCS
5. Record Keeping

1. Acknowledge

We will acknowledge your complaint within two business days of receipt and inform you of next steps ensuring realistic timeframes are communicated to you. Our team member will let you know who they are and will provide relevant information on how you can contact them.

If we receive a verbal complaint from you, we will ascertain whether it can be resolved immediately. If the matter is not straight forward, we will send you an Initial Complaint Form to complete and return to us. We will explain our Complaints process and that we belong to a Disputes Resolution Scheme.

Once we have received the Initial Complaint Form, or once we have all the information we need, we will acknowledge your Complaint in writing.

2. Investigate / Resolve

Depending on complexity we will aim to resolve the complaint within ten business days. We will record all correspondence, file notes, investigations, recommendations, decisions, reasons and actions taken.

3. Outcome

By way of an Offer of Resolution (letter or email) we will provide you with an explanation on how the issue occurred and what has been done to rectify the problem. We will explain what will happen next.

If you are not satisfied with our initial explanation, we will consider any additional information or representations you wish to provide and decide whether an alternative resolution is appropriate and, if so, provide you with a Second Offer of Resolution (letter or email).

4. Escalation

If you do not accept our explanation and resolution, we will refer you to our dispute resolution scheme –Financial Services Complaints Limited (FSCL). Contact by you to FSCL will need to be made no later than 2 months from the date we advise you to escalate your complaint to them. We will provide you with a letter outlining that our interactions are at a deadlock.

FSCL will gather relevant information from both parties and investigate accordingly. On conclusion of their investigation they will recommend a settlement. If you accept the outcome of their investigation and a satisfactory resolution has been reached, the complaints file will be closed. If you do not accept the decision FSCL makes, then FSCL will impose a final decision which is binding.

5. Financial Disputes Resolution Service

Catalist has appointed Financial Services Complaints Limited as our independent disputes resolution scheme.

Post: Financial Services Complaints Ltd
P O Box 5967
Wellington 6140
Freephone: [0800 347 257](tel:0800347257)
Email: complaints@fscl.org.nz

Any complaint unresolved through our internal complaint handling process will be referred to FSCL. Catalist is a member of this independent external dispute resolution scheme. There is no cost to you to use their services.

6. Record Keeping

All information in relation to your complaint will be recorded chronologically for future reference if required.