PRINCIPAL PARTNERS (VIC) PTY LTD
ABN 28 154 767 423
AFS Licence No. 426722

POLICY DOCUMENT

COMPLAINT HANDLING

Date produced: 1 October 2021

As with all businesses we appreciate that matters do not always go as planned or expected so complaints are part and parcel of doing business including providing financial planning services as we do. This policy is to assist you to understand how complaints are handled by us and how you can notify us if you have a complaint.

Notification of complaint

If you are dissatisfied with the service we have provided to you and you want us to take some action to address the situation you can notify us through:

- An email to your representative or if more comfortable for you to admin@ppvic.com.au marked for the attention of the Compliance Officer
- A telephone call to the representative who provided the service of if uncomfortable making that approach directly to 03 8320 4646
- Visiting our offices

The format of the lodgement can be written or oral. We may ask you to confirm our understanding of your oral complaint so that we are all clear on the situation.

Assistance

If you need assistance in expressing your complaint, then we are prepared to listen and help you to set out the details. We are also prepared to engage with a person that you may nominate to act on your behalf however we will require that authorised consent from you (unless they are acting under a Power of Attorney).

If you are more comfortable using a language other than English, please let us know so that an interpreter can be engaged.

Our process

Once we receive your complaint, we will provide you with an acknowledgement in your preferred method of communication with 1 business day.

We will need to gather information from all parties involved in the complaint and consider that information in light of the situation you have brought to our attention; so, we may need to contact you during our assessment to clarify or obtain further information. Our promise is that we will always conduct investigations and assessments in a fair and unbiased manner.

You will receive our final response with clear explanations for our decisions.

Our final response will be provided to you within 30 calendar days of the receipt of the complaint. However, if your complaint is complex or there are unavoidable delays in receiving requested information from you this may impact our meeting that target. In those unexpected situations we will send you a Delay Notification which will set out the reasons for the delay and that you may escalate this to the Australian Financial Complaints Authority whose contact details are set out towards the end of this policy.

Timeframes

Just to reiterate our timeframes clearly

Acknowledgement of a complaint	24 hours or 1 business day
Final response	30 calendar days generally unless we issue a Delay Notification

Contact us by:

Telephone:	03 8320 4646
Email:	admin@ppvic.com.au
Face to face:	at our business office Level 2, 151 Toorak Road, South Yarra VIC 3141
Mail:	PO Box 451, South Yarra VIC 3141

Contact details for the Australian Financial Complaints Authority

Telephone:	1800 931 678 9:00am–5:00pm AEST/AEDT weekdays
Email;	info@afca.org.au
Mail:	Australian Financial Complaints Authority Limited GPO Box 3 Melbourne, VIC 3001
Online:	Online complaint form (afca.org.au)