

Wealth Architects NZ Ltd Complaints Policy

Wealth Architects is committed to providing its customers with excellent service, quality advice and products.

Step One

If you are unhappy with the service, advice or product provided by your Financial Adviser, please contact them in the first instance to lodge a complaint with them.

They will acknowledge your complaint within 2 days and try to resolve the matter directly with you.

Step Two

If you and your Financial Adviser can't agree how to resolve the complaint, the Financial Adviser will refer it to Wealth Architects NZ Ltd's National Manager for an independent review in accordance with Wealth Architect's Internal Complaint and Dispute Resolution procedures.

If you're unable to contact your Financial Adviser or wish to speak to someone else, please contact:

Kelly Sullivan, National Manager

kelly.sullivan@wealtharchitects.co.nz

021 084 16335

Step Three

Internal Complaint and Dispute Resolution procedure:

- a) Wealth Architects NZ Ltd's National Manager will acknowledge receipt of your complaint within two (2) working days;
- b) Your complaint will be thoroughly examined. All complaints are taken very seriously, and Wealth Architects will make certain that all issues are considered carefully;
- c) The National Manager will identify actions to try and fix the complaint and strive to respond and resolve your complaint within twenty (20) working days from the date they received notice of your complaint.
- d) If your complaint is more complex than first thought it may take longer than twenty (20) working days to resolve. Wealth Architects NZ Ltd's National Manager will let you know the expected time it will take to resolve your complaint and will provide you with regular updates.

Step Four

If your complaint remains unresolved, or you're not happy with the outcome you can refer the matter to Financial Services Complaints Ltd (FSCL), a Financial Ombudsman Service. However, you must contact FSCL within 3 months from the date of receiving Wealth Architect NZ's final decision. Wealth Architects NZ Ltd and its Financial Advisers are all members of this independent external dispute resolution scheme approved by the Ministry of Consumer Affairs. There is no cost to you to use their services.

There are various ways to contact them:

Financial Services Complaints Ltd

PO Box 5967 Wellington 6140

info@fscl.org.nz or complaints@fscl.org.nz

0800 347 257 www.fscl.org.nz