



**AT Global Markets (Australia) (Pty) Ltd.  
(ATFX AU)**

**Complaints and Internal Dispute  
Resolution (IDR) Procedure**

## **Internal Dispute Resolution**

As an Australian Financial Services (AFS) licensee, we are required to have a dispute resolution system in place. The dispute resolution system must comply with the standards and requirements made and approved by the Australian Securities and Investments Commission (ASIC). The policy has been developed with reference to the Essential Elements of Australian Standard AS/NZS 10002:2014 Guidelines for complaint management in organisations and the requirements as set down in ASIC's Regulatory Guide 271.

### **What is a Complaint ?**

A complaint can be defined as an expression of dissatisfaction made to or about an organisation, 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.

### **Our Complaints Process**

ATFX AU Pty Ltd aims to provide a high level of service to all customers, at all times. We value feedback from our clients and use it to improve the quality of our products and services. We appreciate that from time to time there can be issues and circumstances that occur that give rise to a query or complaint. If you have a query or you are dissatisfied with the service you have received from us, your first point of contact should be our Customer Support team via email [support@atfx.au](mailto:support@atfx.au). There is no charge payable by a complainant making a complaint to ATFX AU.

We will endeavour to deal with your queries and complaints efficiently and as quickly as possible. In order for us to investigate your case efficiently and as quickly as possible, we need as much information as possible, including your name and client reference number; a clear description of the issue; details of your request(s); and any additional relevant documentation, such as emails or screenshots. We will acknowledge receipt of your complaint/query within 1 business day of receiving it and we will endeavour to resolve the complaint/query within three business days of receiving it.

Our Customer Support team will propose a resolution to your query or complaint and if you are happy with that resolution we will regard the issue as resolved and will provide you with a confirmation email of the resolution three business days after the receipt of your query or complaint.

If you are unhappy with the Customer Support team's proposed resolution this will be now formally treated as a complaint and it will follow our IDR process. All of the details relating to your complaint will be referred to our Head of Compliance by the fourth business day following receipt of your complaint.

The Head of Compliance will:

- Promptly send a written acknowledgement to you via email.
- Investigate your dispute competently, diligently and impartially.
- Keep you informed of the progression of its investigation of your complaint.

- Send a ‘final response’ within 30 calendar days after the complaint was received with its findings and conclusions. The final response will confirm whether the complaint was upheld and whether or not any redress or remedial actions are proposed.

If you are not satisfied with the Head of Compliance’s response to your complaint, then you can escalate your complaint to the Australian Financial Complaints Authority Limited (AFCA).

## **AFCA**

We are required to be a member of an external dispute resolution scheme. Accordingly, ATFX AU is a member of AFCA, and our membership number is 29851.

You can contact AFCA using the following details :

Website <https://www.afca.org.au/about-afca/contact-us>

You can make a complaint online

Email [info@afca.org.au](mailto:info@afca.org.au)

Mail address : Australian Financial Complaints Authority Limited

GPO Box 3

Melbourne, VIC, 3001

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