

Morningstar Investment Management Australia Limited Complaints Guide for retail consumers and small businesses

ABN: 54 071 808 501
AFSL: 228986

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At Morningstar we believe in putting our client's interests first, we value your feedback, including where you may be dissatisfied with our products, service, staff, or even our complaints handling process. This complaints guide is here to assist you to share your feedback and complaints with us. You will find information on how to make a complaint and guidance on what to expect from us and how long we will take to address your complaint, including information on where to take your complaint further if you are unsatisfied with our response.

Morningstar is committed to ensuring your complaint is treated seriously and dealt with promptly, fairly and consistently in line with our Complaints Management Principles. You can read more about our Complaints Management Principles in our [Complaints Handling Policy](#).

What would you like to tell us?

Complaints can be made to us by:

- ▶ Email: complaints@morningstarinvestments.com.au
- ▶ Phone: 1800 951 999 (Toll Free if called in Australia)

Where you are unable to make a complaint yourself, we are happy to accept complaints made on your behalf through a representative. Simply have your representative confirm they are making a complaint on your behalf and we will correspond with your representative regarding your complaint.

What will happen after a complaint is lodged?

Upon receiving your complaint, we will

- a. Provide you with a response acknowledging we have received your complaint and are working on it, within 1 business day of receipt.
- b. Provide you an overview of Morningstar's internal complaints process, which will include letting you know that Morningstar will investigate the complaint and provide an outcome within 30 business days. And, if we are unable to meet the promised timeframe, you will be informed of the reason for the delay and where to take your complaint further if you are not satisfied with the outcome.
- c. Propose next steps, which may include agreeing on a response or action turnaround time.

We will record your complaint, investigate and provide you with a resolution within the required resolution timeframe, outlined below.

How long will a resolution take?

We will make every effort to resolve your complaint promptly and fairly within 20 days from receipt of your complaint. In any event, we will finalise our response to you no later than 30 days from receipt of your complaint.

What if you're not satisfied with our resolution?

Whilst we endeavor to satisfy your expectations and meet the 30 days maximum timeframe when providing a resolution, should we be unable to meet either, you have the right to refer your complaint to an external dispute resolution scheme, which is a free service to you.

For Australian clients, the external dispute resolution scheme is the Australian Financial Complaints Authority (AFCA). Contact details to make a complaint with AFCA are as follows:

Post: GPO Box 3
Melbourne VIC 3001

Phone: 1800 931 678
Email: info@afca.org.au
Website: www.afca.org.au

For New Zealand clients, the external dispute resolution scheme is the Financial Services Complaints Limited (FSCL). Contact details to make a complaint with FSCL are as follows:

Post: PO Box 5967
Lambton Quay
Wellington NZ 6140

Phone: 0800 347 257
Email: info@fscl.org.nz
Website: www.fscl.org.nz