

Alethia

COMPLAINTS POLICY

Purpose

Alethia Partners Pty Ltd (“**Alethia**”) holds an Australian Financial Services License (number 557729) and is committed to conducting its business in accordance with all applicable laws and regulations. Alethia has an obligation to comply with its general obligations under section 912A(1) of the *Corporations Act 2001*; including facilitating the timely identification, escalation and rectification of complaints. This means that the management of the actual and potential impact, including the potential to minimise complaints from occurring in the future, can be efficiently managed. This policy has been developed with reference to *ASIC Regulatory Guide 271 Internal Dispute Resolution*.

How to lodge a complaint

A complaint can be made to or about our business, our staff, or our representatives. Complaints can be submitted via several sources depending on the nature of the complaint; including;

- via email
- via phone
- in writing, or
- in person

Your Adviser is best placed to receive your complaint initially. You can also reach out to Alethia directly via the below details:

Email: compliance@alethiapartners.com.au
Phone: 08 9242 3053
Writing to: Compliance Manager,
Unit 4, 16 Nicholson Road,
Subiaco WA 6008

Assistance required for lodging complaints

If you require assistance in lodging your complaint, please reach out to your Adviser or call our office on 08 9242 3053. You may also authorise someone to lodge a complaint on your behalf.

If you need additional assistance to lodge or manage your complaint (for example due to disability, language barriers, financial hardship or personal circumstances) we will take reasonable steps to support you. This may include providing information in different formats, allowing a support person to assist you, or adjusting our communication methods.

Process for handling complaints

Alethia’s internal process for handling complaints aims to ensure that complaints are resolved in a timely, fair and consistent manner. Our internal process is:

- Within one business day, we acknowledge that we have received the complaint. We aim to resolve the complaint immediately, if possible.

- Where we cannot resolve the complaint immediately, our team will investigate the complaint and conclude on an appropriate resolution.
- The complainant will be informed of the resolution within 30 days. If we are unable to finalise the resolution within 30 days, we will provide the complainant with the details to the Australian Financial Complaints Authority (AFCA).
- Our final response will explain the outcome of your complaint, the reasons for our decision, and your right to take the matter to AFCA if you are not satisfied. If we resolve your complaint to your satisfaction within five business days, we may not issue a written response unless you request one.

Response timeframes

We are required to provide a final response to a complaint within 30 calendar days of the complaint being lodged. There may, however, be factors outside of our control that may extend this timeframe. If we cannot provide a final response within 30 days, we will send you an IDR delay notification explaining the reason for the delay and informing you of your right to contact AFCA.

Privacy

We will handle your personal information in accordance with our Privacy Policy and only use it for the purpose of managing your complaint.

The Australian Financial Complaints Authority (AFCA)

We are members of The AFCA (Member Number 108687). If a complainant is not satisfied with Alethia's response to their complaint, they may be entitled to refer this matter to AFCA. AFCA is an independent external complaints resolution body and it is free of charge for complainants to access.

The contact details for AFCA are:

Mail: GPO Box 3
Melbourne VIC 3001
Phone: 1800 931 678
Website: www.afca.org.au
Email: info@afca.org.au

This policy was last updated on 26 May 2026.