

Guidance Note

Released:

07 June 2019
Version: 3

Key concepts

Lodging a Complaint

Related Information

FGL Operating Rule

Part 1

Recommended Audience

All Trading Participants, Clearing Entities, clients of these parties and other market stakeholders

Previous Issues:

Nil

GN 52 - Complaints

Introduction

FGL has put into place arrangements to ensure that complaints and enquires are addressed in a timely manner.

All matters that arise from the performance of the market, behaviour of Trading Participants and Clearing Entities and any regulatory functions may be communicated to FGL.

Guidance

Can FGL assist with the Matter?

FGL may be able to assist with following matters:

- concerns that a Trading Participant or Clearing Entity may have breached the FGL Operating Rules;
- concerns about FGL Market operations; and
- concerns about products listed on FGL.

Concerns over Clearing and Settlement issues can also be directed to FGL.

In order for complaints to be dealt with efficiently and resolved as quickly as possible and to ensure that all relevant information is supplied, FGL has put into place the following process.

The preferred form of communication is in writing - but FGL will also accept initial communication over the phone where necessary. Please note - phone calls may be recorded to assist with FGL dealing appropriately with matters raised. While FGL prefers all concerns to be in writing, there is always the option to contact the FGL Chief Compliance Officer on +61 2 8024 5200.

How to Lodge a Complaint

Where there is a concern over a possible breach of the FGL Operating Rules, Market Operations, the specifications of contracts offered for products, or the Market Operator, you may:

- 1 gather all other relevant information:
 - (i) include Person Contact Details and the nature of the complaint; and
 - (ii) be sure to include specific details of the complaint (date/time/personnel/ products).
- 2 once this has been collated, send this information and any other supporting documentation to:

FGL Complaints Department
PO Box R506
Royal Exchange NSW 1225

Email: operations@fex.com.au

Where there is a concern over Clearing and Settlement Arrangements, you may:

- 1 contact FGL Client Services +61 2 8024 5200
- 2 send the concern or issue in writing to FGL Client Services at the following address:
FGL Complaints Department
PO Box R506
Royal Exchange NSW 1225

Email: operations@fex.com.au

FGL Staff will direct your enquiry to the appropriate contact. FGL reserves the right to discuss matters with our Regulator, the Australian Securities and Investments Commission (ASIC), and our Clearing and Settlement Service Provider.

What happens next?

Once a compliant is received by FGL, the Complainant will receive notification that FGL has received the information.

FGL will endeavour to attend to the issues concerned in an efficient and timely manner.

FGL may refer the complaint to ASIC if the substance of the complaint relates to matters that are outside of FGL's and inside ASIC's jurisdiction.

Once the issue has been assessed and appropriate action determined, the Complainant will be notified.

If the Complainant is not satisfied with the way that FGL has handled the matter, then they may contact ASIC directly on: 1300 300 630.

FGL has issued this Guidance Note to give general assistance to Trading Participants and Clearing Entities in their compliance with the Operating Rules. FGL is not bound by this Guidance Note in any particular case. This Guidance Note is not legal advice and Trading Participants and Clearing Entities should seek their own professional advice on their obligations under the Operating Rules in their particular circumstances. FGL may replace this Guidance Note at any time. Current Guidance Notes are available at www.fex.com.au/Guidance or by contacting FGL on enquiries@fex.com.au or on +61 2 8024 5200

Defined terms in this Guidance Note have the meaning given in the Operating Rules.