

Complaints Disclosure Statement

This Complaints Disclosure Statement has been issued by Smartshares Limited (**Smartshares**) in accordance with the Financial Services Legislation Amendment Act 2019 and Financial Markets Conduct Act 2013.

Contact us – Internal complaints process

Smartshares is committed to resolving your complaint quickly and fairly. We will process your complaint in the following manner:

1. Please complete and sign the attached complaint form. Please send the completed form to:
Smartshares Limited
PO Box 106 555
Auckland 1143

Email: complaints@smartshares.co.nz
2. Smartshares will acknowledge receipt of your complaint within two business days of receiving the complaint. We will inform you of the indicative timeframe for completing the investigation.
3. Smartshares will assess the information provided by you and conduct the investigation. If Smartshares considers investigation is not required based on the information given, you will be informed of the decision.
4. Where an investigation has been undertaken, Smartshares will report the conclusion of the investigation to you.

Taking a complaint further – External complaints process

5. If you are not satisfied with Smartshares' conclusion of the investigation and if Smartshares has no further information to provide to you, a deadlock letter will be issued to you to refer the complaint to the Supervisor (Public Trust). You may then refer your complaint to the supervisor at:

Complaints
Public Trust
PO Box 1598
Shortland Street
Auckland 1140

Telephone: 0800 371 471
Email: cts.enquiry@publictrust.co.nz
6. You have access to a free, independent dispute resolution service, and that service may help to investigate or resolve the complaint if it is not resolved to your satisfaction using Smartshares' internal complaints process described above.
7. Smartshares is a member of the Financial Services Complaints Limited (**FSCL**) independent dispute resolution scheme. If your complaint has reached deadlock or cannot be resolved with the Supervisor, you may refer it to FSCL and request an external review. Contact details for FSCL are as follows:

Financial Services Complaints Limited
PO Box 5967
Wellington 6140



Telephone: 0800 347 257
Email: complaints@fscl.org.nz

FSCCL will not charge you a fee to investigate or resolve a complaint.



COMPLAINT FORM

Please complete this form and attach any supporting documentation and send via one of the options below:

By post to: Smartshares Limited
PO Box 106 555
Auckland 1143

By email to: complaints@smartshares.co.nz

YOUR DETAILS

Name: _____ Phone: _____

Company: _____ Email: _____

Address: _____

COMPLAINT: *[please answer all questions with as much detail as possible]*

What conduct would you like to complain about?

[Continue on a separate page if necessary]



Have you suffered any financial loss as a result of this conduct?

[Continue on a separate page if necessary]

How did the conduct you complain of cause you financial loss?

[Continue on a separate page if necessary]

Please list any relevant documents and attach copies, where available.

[Continue on a separate sheet if necessary]



DISCLOSURE:

Do you consent to the disclosure of your name and the details of this complaint (including this complaint form) to the person/entity which is the subject of your complaint? If not, please provide details of the information you do not want disclosed.

Yes No

Details _____

Signature:

Date:

FOR OFFICE USE ONLY:

Type:	Adviser <input type="checkbox"/>	Product <input type="checkbox"/>
Status:	Matter open <input type="checkbox"/>	Matter closed <input type="checkbox"/>

Smartshares contact/s: