



Augusta's Investor Complaints Handling Procedures

Augusta is committed providing an excellent service to our investors. However, we understand that we may not always get it right. If you have a complaint, we will do everything possible to resolve the matter in a prompt and professional manner.

As a licensed financial service provider and real estate agent, Augusta is required to have an in-house procedure for dealing with complaints, which is set out below.

Step 1

Please call, email or write to us to tell us what your complaint is and what you would like done to resolve it. Please note that if you call, we may ask you to put your complaint in writing so that it can be properly investigated.

Our contact details for complaints are as follows:

Adelle McBeth

Head of Operations

Augusta Funds Management Limited

Phone: 09 300 6161

Email: adelle@augusta.co.nz

Step 2

We will acknowledge your complaint as soon as practicable, but no later than two working days after receipt. We will provide you with an estimated timeframe to expect a formal response from Augusta by. We will also inform you of your right, if Augusta is unable to resolve your concerns satisfactorily, to refer your complaint to the Financial Dispute Resolution Services (FDRS) free of charge.

As part of our investigation we may contact you directly in order to better understand your concerns and to discuss how we can best resolve them.

If subsequently we find that we are unable to respond to your complaint within the estimated timeframe, we will contact you in advance and provide you with a revised expected response date.

Step 3

Our response will be in writing and will include our reasons for our decision. Augusta's response may also include how Augusta will endeavour to ensure that the issue does not arise again, an apology, and/or proposed resolution of your complaint.

If you are unhappy with our response or our proposed solution, please don't hesitate to get in touch so that we have an opportunity to reconsider. You will also be reminded of your right to refer your complaint to Financial Dispute Resolution Services (FDRS) free of charge.

Step 4

If, however, you are still dissatisfied with our response you are entitled to refer your complaint free of charge to the Financial Dispute Resolution Service (FDRS). For details of the service they provide please visit www.fdrs.org.nz.

You must contact FDRS within three months of receipt of our final response to you in order for your complaint to be considered by FDRS.

Alternatively, you may wish to lodge a claim with the courts or the Disputes Tribunal. You may also like to discuss your complaint with the Scheme's supervisor, Covenant Trustee Services Limited (where your complaint relates to a scheme supervised by Covenant).