



Complaints Policy

1: Overview

This policy explains how you can make a complaint, our measures for handling your complaint, and the steps you can take if you are not satisfied with our response to your complaint.

The purpose of this Complaints Policy is to set out the information required to be in a Complaints Policy by ASIC Corporations, Credit and Superannuation (Internal Dispute Resolution) Instrument 2020/98 ("the Instrument"). The Instrument is a legislative instrument made by the Australian Securities and Investments Commission (ASIC).

2: What is a Complaint

A complaint is a statement of dissatisfaction made to or about us, where a response is sought, reasonable to expect, or legally required. Complaints might be related to our products, services, staff, or our handling of a complaint.

3: How to Make a Complaint

If you have a concern, please speak to your financial adviser, using any of the following contact methods:

Telephone	Office: (07) 4632 2900 Ben Wilshire: 0438 113 327
Email	admin@lionandshield.com.au

If after speaking to us, your complaint is not resolved within 5 business days, please write to:

Mail	Compliance and Professional Standards Manager Lion and Shield Financial Planning Pty Ltd PO Box 959 Toowoomba QLD 4350
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When making your complaint, please tell us:

- your name;
- how you wish us to contact you (e.g. phone, email);
- what your complaint is about; and,
- what you are seeking to resolve your complaint.

4: If you Need Help to Make a Complaint

If you need help to make or manage your complaint, you can elect someone (e.g. a relative or friend) to represent you. Please note, we will need your authority to speak to any representative that you appoint.

We can also help you to express your complaint.

5: How we Will Deal with your Complaint

5.1 Acknowledgement

We will acknowledge receipt of your complaint within one business day, or as soon as practicable thereafter, and try to resolve it as quickly as possible.

When acknowledging your complaint, we will respect any preferences you have communicated to us in relation to the way in which you wish for us to communicate with you.

5.2 Investigation

If we cannot resolve your complaint immediately, we will need some time to investigate your concerns. We may also request that you provide us with further information to assist with our investigation.

We will be required to resolve your complaint internally within 30 calendar days. If we are not able to provide our response to you on time because your complaint is complex, or because of circumstances beyond our control, we will write to you to explain the reasons for the delay and inform you of your right to complain to the Australian Financial Complaints Authority ('AFCA') and provide you with the contact details.

6: Escalating your Complaint

If, after 30 days, we cannot resolve your complaint to your satisfaction, you have the right to refer the matter to the Australian Financial Complaints Authority ('AFCA'). AFCA can be contacted on:

Post	GPO Box 3 Melbourne VIC 3001
Telephone	1800 931 678
Email	info@afca.org.au
Website	www.afca.org.au

Alternatively, other matters can be referred to the industry regulator, the Australian Securities and Investment Commission ('ASIC'). ASIC can be contacted on:

Telephone	1300 300 630
Website	www.asic.gov.au