



Ox Securities Pty Ltd Complaints Management Policy

February 2025

Complaints Management Policy

At Ox Securities Pty Ltd (AFSL No: 438402) ('the Company'), we are committed to maintaining the highest standards of professionalism and service in our dealings with clients. As a provider of Contracts for Difference (**CFDs**), we recognise the importance of addressing any concerns, complaints or disputes fairly, efficiently and transparently.

While wholesale clients are not entitled to access external dispute resolution through AFCA, the Company maintains an internal framework that reflects the principles outlined in ASIC Regulatory Guide 271 (**RG 271**).

Purpose

This policy outlines how the Company manages complaints and disputes received from clients. Our objective is to:

- Acknowledge and resolve complaints and disputes promptly;
- Investigate issues impartially and professionally; and
- Identify opportunities to enhance our services and internal controls.

What is a Complaint?

In accordance with RG 271, we define a complaint or dispute as any expression of dissatisfaction regarding our products, services, employees, or this Policy, where a response or resolution is reasonably expected. This also includes dissatisfaction with the handling of a previous complaint, particularly where a response has not been provided.

How to Lodge a Complaint

If you wish to raise a complaint or dispute, you may contact us via any of the following channels:

- by email;
- by telephone;
- by post;
- via our social media platforms; or
- by messaging us on Live Chat.

For us to assist you most efficiently, we would recommend that you:

- Notify our Customer Support team and / or your Account Manager of the details of your complaint as soon as possible;
- Provide your name, contact details, account reference (if applicable), a clear description of the issue and compile any relevant documentation that relate to your complaint; and
- Advise us of your preferred method of contact.

Our Complaint & Dispute Resolution Process

1. Acknowledgment

We will acknowledge your complaint or dispute within one business day or as soon as practicable.

2. Assessment & Investigation

Each matter is reviewed by an employee who was not directly involved in the issue. We may request additional information to ensure a thorough and fair investigation.

3. Resolution Timeline

We aim to provide a final response **within 30 calendar days** from the date we receive your complaint. If delays are unavoidable due to complexity or external circumstances, we will keep you informed of progress and the expected timeframe.

If you are dissatisfied with the outcome or handling of your complaint or dispute, you may request escalation to our Senior Management or Compliance Officer. The matter will be independently reassessed, and you will receive a formal response outlining the final position.

External Dispute Options

As a wholesale client, you do not have access to the Australian Financial Complaints Authority (AFCA) for external resolution of disputes involving the Company. However, you may seek external avenues, such as legal advice.



Contact Us

If you have any questions or would like further information about our complaints handling process, please contact us by:

In writing – Post: Zenith Tower B, Suite 902, 821 Pacific Highway, Chatswood, 2067 AUSTRALIA; or

By email – service@oxsecurities.com.au; or

By phone – Customer support line: +61 (2) 7202 6730; or

Ox Securities Live Chat via our website (www.oxsecurities.com.au)