
Complaints Policy

Count Limited (ACN 126 990 832)

1. Purpose

Count Limited (Count, we, us) is committed to managing our clients' concerns in a proactive and empathetic manner and consistent with our legislative and regulatory obligations. Our Complaints Management Policy (Policy) outlines the key components of our complaints management framework. It explains how we manage and resolve complaints from clients, customers, and stakeholders regarding the services and products provided by us. Our aim is to ensure all complaints are handled promptly, fairly, and transparently.

This Policy covers Count Limited and its controlled entities. Details of Count Limited's controlled entities (subsidiaries) are available on the Count website and in our most recent [Annual Report](#).

This Policy sets out our approach to:

- the complaints management principles
- lodgement of complaints
- processes and response timeframes
- escalation of certain types of complaints to an external dispute resolution service, and
- assistance to customers who may need additional support to lodge a complaint.

2. Our complaints management principles

When we are managing a complaint, we follow these principles:

Accessibility: we make sure that the complaint process is easy to access and navigate and is free for everyone. We provide multiple channels for lodging complaints and ensure the process is straightforward.

Timeliness: we address complaints promptly. We set clear timeframes for acknowledging, investigating, and resolving complaints to handle any concerns efficiently.

Fairness: we handle all complaints with integrity, ensuring that our actions are fair, consistent, and equitable. We treat all complainants with respect and empathy.

Accountability: we will admit mistakes and correct them. We are accountable internally and externally for our decision making and complaint handling performance. We provide explanations and reasons for decisions and ensure that our decisions are subject to appropriate review processes.

Transparency: we keep complainants informed throughout the process. We provide clear and regular updates on the status of their complaint and explain each step taken to resolve it.

Learn and improve: we use the feedback from complaints to find and fix problems. We review our complaint management processes to improve service and prevent future issues.

3. What is a complaint?

In accordance with the Australian/New Zealand Standard ISO 10002-2014, a complaint is defined as:

- an expression of dissatisfaction;
 - made to or about Count or one of Count's related entities,
 - related to Count's products, services, staff, or the handling of a complaint,
 - where a response or resolution is explicitly or implicitly expected or legally required.

In simple terms, a complaint is when a client, customer, or stakeholder tells us they are unhappy with our products, services, staff, or how a previous complaint was handled, and they expect a response or solution.

4. How to make a complaint?

Let us know what has occurred, complaints can be made online, by phone, in writing. The complaint process is free of charge, and we will do what we can to resolve your complaint as quickly as possible.

General

Complaints about a concern about our services, staff, or a situation related to Count can be submitted:

Website: via our online feedback form at: [Contact - Count](#)
Phone: 02 8218 8771
Email: info@count.au
Writing: Complaints Resolution
GPO Box 1453, Sydney, NSW 2001

Financial service or product (financial advice) complaints

Complaints about one of our Australian Financial Services Licensees (AFSLs) or authorised representatives can be submitted by contacting your Adviser in the first instance to discuss your concerns, or you can contact us below:

Phone: 02 8218 8771
Email: reportcomplaints@count.au
Writing: Count Professional Standards
GPO Box 1453, Sydney, NSW 2001

Privacy

Complaints about privacy and handling personal information can be submitted by:

Phone: 02 8218 8771
Email: privacy@count.au
Writing: Privacy Officer
GPO Box 1453, Sydney, NSW 2001

Whistleblower reporting

Complaints related to whistleblower disclosures or grievances should be made in accordance with the Count Whistleblowing Policy by contacting the Protection Officers directly via the below:

Phone: 02 8218 8771
Email: info@count.au
Writing: Protection Officer
GPO Box 1453, Sydney, NSW 2001

Or through our independent whistleblowing service below:

Telephone: 1300 924 705
Email: countspeakup@myvault.net.au
Post: Count Limited
c/- Fraud and Forensic Consulting
GPO Box 4736, Melbourne, VIC 3001

Equity partnerships or services business

Our equity partnerships and services businesses manage their own complaints. Therefore, we recommend that you first raise your concerns directly with the firm to allow them to resolve the issue. If the complaint is not resolved to your satisfaction, you have the option to escalate the matter to Count using the general complaints contact details.

Please include the following information when making a complaint through any contact mechanism:

- Your name
- Your preferred contact details and methods to contact
- Details of the complaint and the nature of your concern
- Business, service or product the complaint relates to
- Any information that you believe would assist us to understand and investigate your complaint
- Details of the outcome you are looking to achieve and how best we can address your concern.

5. Our complaints handling process

The timeframe in which we seek to resolve a complaint depends on the type of complaint and the product or services that it relates to. We aim to resolve your complaint as quickly as possible. Our steps for dealing with complaints include the below:

1. Acknowledge

Generally, we will acknowledge your complaint within one business day. For financial services complaints we are required to acknowledge receipt of the complaint within 24 hours (or one business day), of receiving it, or as soon as practicable.

We will acknowledge a complaint verbally or in writing (email or post).

2. Assess and investigate

We'll look into the details and investigate any concerns to determine the cause of the complaint. This may involve gathering information from various sources and speaking to relevant parties.

3. Respond and resolve

We will keep you informed about the steps taken to resolve the issue and provide updates until the complaint is fully resolved.

For financial services complaints if it takes longer than five (5) business days to resolve your complaint, we will provide you with a response in writing.

For specific types of complaints, we are obligated to resolve them within a designated timeframe (refer to the table below). If we determine that additional time is necessary to address your complaint, we will inform you before the deadline, explain the reasons for the delay, and provide details on how you can escalate your complaint if needed.

For complaints relating to our AFSLs or the handling of personal information (privacy complaints), Count will provide a final response within 30 calendar days of receiving the complaint, in accordance with applicable regulatory requirements. If we are unable to resolve the complaint within this timeframe, we will keep you informed of the reasons for the delay and advise you of your right to escalate the complaint to the relevant external dispute resolution body.

Type of complaint	Maximum timeframe to resolve
Financial services	30 calendar days
Privacy	30 calendar days

When responding to your complaint, we'll consider how you made your complaint and any communication preferences you've shared with us.

6. Your options for review

If we have not resolved your complaint to your satisfaction, there are several options available depending on the type of complaint and the product or services provided.

Financial services

If your complaint relates to a financial service or product and you are not satisfied with our response, or if your complaint has not been resolved within 30 days, you can lodge a complaint with the Australian Financial Complaints Authority (AFCA). AFCA provides a fair and independent financial services complaint resolution that is free to consumers. You can contact AFCA at:

Website: afca.org.au
Email: info@afca.org.au
Telephone: 1800 931 678 (free call)
Writing: Australian Financial Complaints Authority
GPO Box 3, Melbourne VIC 3001

Our following entities are members of AFCA:

Count Financial Ltd (AFCA Member No: 10332)
DWA Managed Accounts (AFCA Member No: 12486)
GPS Wealth (AFCA Member No: 10250)
Paragem (AFCA Member No: 12300)
Merit Wealth (AFCA Member No: 27958)

Time limits may apply to raising complaints with AFCA, so you should act promptly. Check the AFCA website to find out if or when the time limit relevant to your circumstances expires.

Privacy complaints

If your complaint relates to a privacy matter and you are not satisfied with our response or if your complaint has not been resolved within 30 days, you can contact the Office of the Australian Information Commissioner at:

Website: oaic.gov.au
Email: enquiries@oaic.gov.au
Phone: 1300 363 992
Writing: Office of the Australian Information Commissioner
GPO Box 5218 Sydney NSW 2001

Equity partnerships and services businesses complaints

If you are not satisfied with the outcome of your complaint, related to any of our controlled entities, you have the option to escalate it to a relevant governing body. We can provide you with details of various industry governing bodies. These include:

- Certified Practising Accountants (CPA) Australia
- Chartered Accountants Australia and New Zealand (CA ANZ)
- Tax Practitioners Board (TPB)
- Actuaries Institute of Australia

These organisations oversee industry practices and may be able to assist you in resolving your concerns. Please let us know if you need further assistance or specific contact details for these bodies. Send an e-mail to info@count.au.

7. Assistance to make a complaint

If you need help to make a complaint, you can use the support options listed below:

Authorising someone to help you

If you need assistance in making a complaint, you may request the help of a family member, friend, or representative. Please note that we will require your permission to speak to this person on your behalf.

TTY number

Type telephone service for people who are deaf, hard of hearing or have a speech disorder.

- Call [133 677](tel:133677) then ask for 13 2221

SMS relay

Relay service for people who are deaf, hard of hearing or have a speech disorder.

- Text [0423 677 767](tel:0423677767)

For more info, visit the National Relay Service (NRS). You'll need to register with the NRS before using their service.

Voice relay number

Voice relay service for people who have a speech disorder.

- Call [1300 555 727](tel:1300555727) then ask for 13 2221

Interpreter services

If English isn't your first language, you can access a free interpreter service through [Translating and Interpreter Services](#). This service is provided by the Department of Home Affairs and is available in over 150 languages.

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