



## *Dispute Resolution Policy (V1.0)*

*Issue Date: 18 August 2017*

**United Global Capital Pty Ltd**

Level 7, North Tower, 459 Collins Street  
Melbourne, Victoria 3000 Australia.

ABN: 25 154 158 273

ACN: 154 158 273

AFSL: 496179

Throughout this Dispute Resolution Policy, United Global Capital Pty Ltd is referred to as “UGC”, “we”, “us”, “our” or any such variations.

This DRP does not relate to financial services provided by firms, companies, individuals or institutions which UGC does business with or introduces clients to.

This Dispute Resolution Policy (DRP) is dated **18 August 2017** and replaces all previous versions.

## Dispute Resolution

We are committed to providing quality advice to our clients. This commitment extends to providing accessible complaint resolution mechanisms. If you have any complaint about the service provided to you, you should take the following steps:

- Contact your advisor and tell your advisor about your complaint. The majority of complaints can be resolved this way.
- If you do not have an advisor, or your complaint is not acknowledged within 7 days, please contact the Complaints Manager at United Global Capital on 03 8657 7640.
- You can also put your complaint in writing and send it to United Global Capital at:

United Global Capital Pty Ltd  
Level 7, North Tower  
459 Collins Street  
Melbourne VIC 3000

UGC will try and resolve your complaint quickly and fairly. You should receive written acknowledgement of your complaint within 5 business days after it is received.

If your complaint is not satisfactorily resolved within a further 45 days, you can raise your concerns with the Financial Ombudsman Service on 1300 780 808. UGC is a member of this complaints resolution service.

The Australian Securities & Investments Commissions (ASIC) has a freecall Infoline 1300 300 630 which you may use to make a complaint and obtain information about your rights.

The preparation of this DRP was completed on 18 August 2017.