

CONTROL

Version 2021-01

5 October 2021

Compliance Department

DFA AUSTRALIA LIMITED

Complaints Handling Policy



1. OVERVIEW AND SCOPE

DFA Australia Limited (“**Dimensional, we, us, our**”) is committed to dealing with complaints in a fair, objective, timely and unbiased manner. As an investor in the Dimensional Wholesale Trusts (the “**Trusts**”), you have the right to make a complaint in accordance with this Complaints Handling Policy (“**Policy**”)

Our Policy has been designed in accordance with the Australian Standard on Complaints Handling (AS ISO 10002:2006) and regulatory guides issued by the Australian Securities and Investments Commission (“**ASIC**”).

2. DEFINITION OF COMPLAINT

For the purpose of this Policy we describe a **Complaint** as:

“An expression of dissatisfaction made to or about Dimensional, related to its products, services, staff or the handling of a complaint, where a response or resolution is explicitly or implicitly expected or legally required.”¹”

3. HOW TO MAKE A COMPLAINT

If you are investing in the Trusts through your financial adviser (“**Adviser**”), you may direct your Complaint to Dimensional via that Adviser. As you have a direct relationship with your Adviser, Dimensional may deal with your Complaint through your Adviser.

Direct investor: If you are a direct investor into the Trusts and you wish to make a Complaint, you can call or write to us (for the attention of the Compliance Manager) at the contact details set out in Appendix A below. We will provide you with all reasonable assistance and information that you may require for the purpose of making a Complaint and to assist you in understanding this Policy.

Privacy: If you have concerns about whether we have complied with our Privacy Policy Statement or the Privacy Act 1988 (Cth), you can contact us or make a Complaint in accordance with this Policy.

Underlying retail client of an Investor Service: If you are a retail client investing through an investor directed portfolio service (“**IDPS**”), IDPS-like scheme, master trust, wrap account, or a nominee or custody service (each an “**Investor Service**”) and you wish to make a Complaint we would initially suggest you contact your Investor Service, they will handle your Complaint in accordance with their complaints handling procedures and where appropriate they will refer your Complaint to Dimensional under this Policy. Alternatively, if you would prefer you can contact us directly (for the attention of the Compliance Manager) at the contact details set out in Appendix A below.

4. INFORMATION TO INCLUDE IN YOUR COMPLAINT

It would help us to deal with your Complaint if you provide the following information:

- your name
- your investor number (if direct) and name if different from your own name
- details of your investments in the Trusts
- details of your Adviser (if applicable)
- details of your Investor Service (if applicable)
- details of your Complaint, including dates where relevant, and

¹ ASIC RG 271.27

- expected course of action

5. RESPONSIBILITY

Dimensional's Compliance Manager is responsible for the complaints handling process. The Compliance Manager may work with relevant department heads and/or other relevant employees when dealing with your Complaint.

6. INVESTIGATION

Upon receipt of a Complaint an investigation may be undertaken, this could include, but is not limited to:

- the collection and review of information relating to your Complaint
- considering possible resolutions
- providing you with a formal response (where requested/required)
- providing you with details of our appointed external dispute resolution scheme

Where possible, a Complaint will be considered by a person who is not directly involved in the subject matter of the Complaint.

7. TIMEFRAMES

Acknowledgement: We will aim to promptly acknowledge your Complaint and in any event within 1 business day (either verbally or in writing). Please note that it may not be resolved at this stage.

Formal Response: We will aim to provide you with a formal response as soon as practicable and in any event not more than 30 calendar days after we receive your Complaint. The formal response will include:

- the determination in relation to the Complaint
- the remedies (if any) available to you, and
- information regarding any further avenue for Complaint (if any)

If we resolve your Complaint within 5 business days, we may not provide you with a formal response in writing, unless you have requested a written response.

Delays: Dimensional will notify you if we are unable to provide you with a formal response within 30 calendar days.

8. RESOLUTION

The resolution may vary depending on the nature of your Complaint. Where appropriate this may include, but is not limited to:

- an explanation of the circumstances giving rise to the Complaint
- an apology
- provision of assistance and support
- a refund or waiver of a fee or charge
- a goodwill payment
- a payment of compensation
- correcting incorrect or out-of-date records
- undertaking to set in place improvements to systems, procedures, or products

9. IF YOU ARE UNSATISFIED WITH THE FORMAL RESPONSE

Dimensional is a member of the Australian Financial Complaints Authority (“**AFCA**”), an external dispute resolution scheme. If you are not satisfied with our response to your Complaint, you may contact AFCA via the contact details set out in Appendix A below.

AFCA has the discretion to exclude a Complaint by a person who is not a retail client.

10. OFFICE OF THE AUSTRALIAN INFORMATION COMMISSIONER

The Office of the Australian Information Commissioner (“**OAIC**”) can investigate privacy related complaints from individuals. Complaints to the OAIC must be made in writing, typically using their online Privacy Complaints Form.

11. PRIVACY

Any Personal Information that you provide to us relating to your Complaint, will be dealt with in accordance with our Privacy Policy Statement, a copy of which is available on our website, or can be provided to you free of charge.

12. ADDITIONAL ASSISTANCE

Please let us know if you require additional assistance to lodge a Complaint.

APPENDIX A: CONTACT DETAILS

DIMENSIONAL

Address:

Compliance Manager
DFA Australia Limited
Level 43, 1 Macquarie Place
Sydney, NSW 2000
Australia

Telephone Number +61 2 8336 7100

Fax +61 2 8336 7197

Email sydney-compliance@dimensional.com.au

AUSTRALIAN FINANCIAL COMPLAINTS AUTHORITY ("AFCA")

(External Dispute Resolution Scheme)

Address:

Australian Financial Complaints Authority
GPO Box 3
Melbourne, VIC 3001
Australia

Telephone Number 1800 931 678

Fax +61 3 9613 6399

Email info@afca.org.au

Website www.afca.org.au

OFFICE OF THE AUSTRALIAN INFORMATION COMMISSIONER ("OAIC")

(Complaints from individuals relating to privacy)

Address:

GPO Box 5218
Sydney, NSW 2001
Australia

Telephone Number 1300 363 992

Fax +61 2 9284 9666

Email enquiries@oaic.gov.au

Website www.oaic.gov.au