

GO Markets Securities Pty Ltd

# Dispute Resolution Policy and Procedure – Share Trading

**VERSION: December 2023**

GO Markets Securities Pty Ltd ABN 24 653 400 527 is a Corporate  
Authorised Representative 1292963 of GO Markets Pty Limited ABN 85  
081 864 039 AFSL 254963.

© 2023 GO MARKETS SECURITIES PTY LTD. ALL RIGHTS RESERVED



**GO MARKETS**  
first choice for trading



## Contents

1. Introduction .....	3
2. Definition of a Complaint .....	3
3. Making a Complaint .....	4
4. Verbal Complaint .....	5



## 1. Introduction

GO Markets Securities Pty Ltd (“**GO Markets**”) have developed and put in place this Dispute Resolution Policy and Procedure to expand complaints management obligations of its Australian financial services aligned with **Regulatory Guidance 271** issued by **Australian Securities and Investment Commission**.

### **Key changes include:**

- Broadening the definition of complaints and complainants,
- Recognition of social media as a complaints channel,
- Reducing timeframes for complaint acknowledgement, resolution and external reporting,
- Enhanced complaint capturing and reporting requirements,
- Systemic issue identification, notification and timely remediation, and
- Priority treatment for vulnerable customers.

### **Importance of feedback**

It is more important now than ever before for GO Markets to engage effectively and empathetically during the feedback process.

Demonstrating customer compassion in these moments has the potential to set a new course for the business where it can improve the financial wellness of the customer community.

Customer feedback provides valuable early warning of potential systemic issues with product design or distribution.

Capturing feedback data is crucial for GO Markets to proactively identify service issues.

### **Making a suggestion**

If you have a suggestion about how we can improve our services, please write to [operations.shares@gomarkets.com](mailto:operations.shares@gomarkets.com)

For the purposes of this Policy:

“Staff” means employees and Contractors of GO Markets; and

“Internal Party” means Directors, Management and Staff of GO Markets.

## 2. Definition of a Complaint

Complaint means an expression of dissatisfaction made to or about an organisation, 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.

Complaints may come from a customer or any person who has a legitimate interest in GO Markets services.

A Complaint can be received verbally, by phone, by email or in writing.

Customers may use other words other than the word ‘Complaint’ to make a

Complaint. This Policy does not cover Complaints from Staff.



### 3. Making a Complaint

If you wish to raise any complaint or Dispute you should contact us as soon as practicable. If we identify a Dispute, we will notify you as soon as possible.

Complaints and Disputes can be lodged with Share Trading - Operations team by telephone on +61 3 8566 7680 or 1800 88 55 71 or by any other means of communication. If you make a verbal Complaint, the Share Trading - Operations team will attempt to resolve it with you as soon as possible. You may also appoint a representative to lodge complaints with us, on your behalf.

However, if the complaint cannot be resolved verbally, the customer should submit the complaint in writing by email to the attn. Head of Share Trading - Operations on [support@gomarkets.com](mailto:support@gomarkets.com).

The complainant will be sent an acknowledgement by the next working day unless there are exceptional circumstances, that the Complaint has been received.

Please keep your own record of dates or times of Trades and other issues as that will help us to investigate any complaints or disputes. It may be difficult or not reasonably possible for us to locate records/tapes in relation to Trades and other issues in the absence of information about the dates and times of any Trades or other issues in the Dispute.

**Internal Dispute Resolution:** We operate an Internal Dispute Resolution policy to enable us to deal promptly and fairly with complaints. Any complaint or Dispute will in the first instance be handled by the Head of Share Trading and thereafter by the Compliance Manager.

If either you or we notify the other party of a Dispute, you and we will consult in good faith in an attempt to resolve the Dispute in a timely manner, including, without limitation, by exchanging any relevant information and by identifying and using any Agreed Process which can be applied to the subject of the Dispute or, where no such Agreed Process exists or you and we agree that such Agreed Process would be unsuitable, determining and applying a resolution method for the Dispute. We will resolve most Disputes within 30 days.

We will respond to any communication, complaint, claim or dispute in English. Any translation provided shall be for convenience only and to the extent there is a conflict between the English version and any translation, the English version shall prevail.

**External dispute resolution process:** If you remain dissatisfied with our investigation or handling of your complaint or dispute you may refer the matter to the **Australian Financial Complaints Authority ("AFCA")**

Mail: Australian Financial Complaints Authority  
GPO Box 3  
Melbourne VIC 3001  
Australia  
Phone: 1800 931 678  
Email: [info@afca.org.au](mailto:info@afca.org.au)

In particular, you have a right to refer your complaint or dispute to AFCA if you are classified as a Retail Client and were classified as such at the time of the event giving rise to the complaint or dispute. The services provided by AFCA are free of charge. Further information on AFCA can be found on its website [www.afca.org.au](http://www.afca.org.au).



#### 4. Verbal Complaint

Complaints can be lodged with GO Markets Share Trading - Operations team by telephone on +61 3 8566 7680 or 1800 88 55 71.

If a customer makes a verbal Complaint to GO Markets' Internal Party, the Internal Party should attempt to resolve it with the customer as soon as possible. However, if the Internal Party cannot resolve the Complaint directly, they must advise Head of Share Trading as soon as possible, so that a means of resolution can be discussed, and put to the customer.

However, if the Internal Parties cannot resolve the customer's Complaint verbally, they should inform the customer s/he can submit his/her Complaint in writing.

Should the customer wish to do so, they may email the details of the complaint to attn. Head of Share Trading on [support@gomarkets.com](mailto:support@gomarkets.com).