



Complaints and Dispute Resolution Policy

RockGlobal Capital Markets Pty Ltd

AFSL: 282288

ABN: 12 108 915 233

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Purpose

This policy sets out how **RockGlobal Capital Markets Pty Ltd** (ABN 12 108 915 233, AFSL 282288) receives, manages, and resolves complaints from retail clients in a fair, timely, and transparent manner.

It also explains how clients may escalate complaints to the **Australian Financial Complaints Authority (AFCA)** if they are dissatisfied with RockGlobal's Internal Dispute Resolution (IDR) outcome.

Scope

This policy applies to all complaints made by retail clients or prospective retail clients about RockGlobal Capital Markets Pty Ltd's services or conduct in connection with its financial services activities, including **dealing, general advice, and execution services in securities, foreign exchange, and derivatives**.

It applies to all RockGlobal personnel, including directors, Responsible Managers, Compliance and Risk personnel, and any staff or authorised representatives who interact with clients.

Definitions

Complaint: An expression of dissatisfaction about RockGlobal's products, services, staff, or complaint handling, where a response or resolution is explicitly or implicitly expected.

IDR: Internal Dispute Resolution process handled by RockGlobal.

AFCA: RockGlobal's external dispute resolution scheme (membership no. 11985)

Business day: A day RockGlobal is open for business during office hours (9am–5pm AEST).

Final response: RockGlobal's written decision on a complaint and the reasons for that decision.

How to Lodge a Complaint

Clients may lodge complaints through any of the following channels:

- **Email:** support@rockglobaltrading.com
- **Phone:** (07) 2146 7660
- **Post:** RockGlobal Capital Markets Pty Ltd, Level 35, Tower One, 100 Barangaroo Avenue, Barangaroo NSW 2000

Please provide sufficient detail to help us identify the issue and your preferred outcome.

Acknowledgement and Response Timelines

RockGlobal acknowledges complaints **within 1 business day** of receipt.

If we are unable to resolve your complaint within **5 calendar days** of receiving it, or if you are not satisfied with our proposed resolution, your complaint will be referred to our **Compliance Team** for further independent review.

We have up to **30 calendar days** to investigate and provide you with a written response from the date we received your complaint. We will communicate with you throughout this period and may request further information if needed.

RockGlobal is not required to provide a response within 30 days if:

- The complaint is particularly complex; and/or
- Circumstances beyond our control cause complaint management delays.

If we are unable to respond within 30 days, we will contact you before the 30-day period ends to inform you of:

- The reasons for the delay;
- Your right to escalate your complaint to the Australian Financial Complaints Authority (AFCA); and
- AFCA's contact details.

Internal Dispute Resolution Process

1. **Receipt and Acknowledgement:**

RockGlobal will acknowledge your complaint within the stated timeframe and record it in our complaints register.

2. **Assessment and Investigation:**

The **Compliance Manager** will coordinate the review, gather all relevant information, and may consult with the **CEO** if required.

Complaints may be escalated following the path: *Staff → Compliance Manager → CEO → Board (if applicable)*.

3. **Outcome and Final Response:**

A written outcome will be provided explaining our decision, the reasons for it, and available escalation options if you remain dissatisfied.

4. **Remediation:**

Where a complaint identifies a systemic issue, RockGlobal will take corrective action, which may include compensating affected clients, rectifying system errors, and implementing control improvements to prevent recurrence.

All remediation actions are documented and tracked by the Compliance Manager.

AFCA Escalation

If you are dissatisfied with our final response, or if we do not provide one within the stated timeframe, you may escalate your complaint to the **Australian Financial Complaints Authority (AFCA)**.

AFCA is an independent External Dispute Resolution Scheme approved by ASIC.

Contacting AFCA

- **Website:** www.afca.org.au
- **Email:** info@afca.org.au
- **Phone:** 1800 931 678
- **Mail:** GPO Box 3, Melbourne VIC 3001

RockGlobal's AFCA membership number is 11985.

AFCA provides a free and independent service for retail clients.

Record Keeping and Reporting

RockGlobal keeps complete records of all complaints, investigations, communications, and resolutions for **a minimum of 7 years**.

Complaint data and insights are included in management reports, reviewed by the CEO, and periodically presented to the Board.

Complaint trends inform RockGlobal's ongoing **Risk and Compliance Monitoring Program**, reviewed quarterly.

Accessibility and Support

Clients can access support via **email, phone, and live chat** during office hours (9am–5pm AEST).

Critical operational or trading system issues are monitored outside office hours, with escalation directly to the **CEO or Responsible Manager** where necessary.

We will make reasonable efforts to assist clients to lodge and pursue complaints through their preferred available channel, including providing assistance for clients with accessibility needs or language barriers.

Review and Version Control

Owner: Compliance Manager

Review Cycle: At least every 12 months

Approval: CEO and, where required, the Board

This document is version **1.0** and is effective from the date stated above.

Updates are controlled through version tracking and communicated to relevant personnel.