1 Introduction

The following procedures should be followed concerning complaints about the way that Cboe Australia Pty Limited ACN 129 584 667 (“Cboe”) conducts its business.

Complaints must be lodged within 2 years from the event that gives rise to the complaint.

2 Different Types of Complaints

Complaints Concerning Compliance Function

Complaints concerning Cboe’s compliance function should be by letter addressed to the Chairman of the Board at Cboe’s offices.

All other Complaints

Complaints concerning Cboe that do not relate to the discharge of Cboe’s compliance function should be addressed to Cboe Compliance either over the telephone or by email. Contact details for this purpose are as follows:

Head of Compliance

Email: au.compliance@cboe.com
Telephone: +61 2 8078 1718

3 Initial Discussion of Complaint

Upon receipt of a complaint, Cboe will request full details from the complainant and, depending on the complexity and seriousness of the complaint, may endeavour to resolve the complaint over the telephone. If this cannot be done, Cboe will investigate the facts and circumstances of the complaint and respond to the complainant as soon as possible. This may involve analysis of any supporting material or evidence provided as part of the complaint.

4 Formalising Complaint Submission

If the complaint is complex or can’t be resolved through initial discussions with Cboe under paragraph 3, complainants are invited to formally lodge a complaint with a comprehensive summary of the issues and include all supporting documents or other relevant material. Complaints may be sent to:

Complaints Concerning Compliance Function

Attn: The Chairman
Cboe Australia Pty Ltd
Level 23, Governor Phillip Tower
1 Farrer Place
Sydney NSW 2000 Australia

All other Complaints

Attn: Head of Compliance and Regulatory Affairs
Cboe Australia Pty Ltd
Level 23, Governor Phillip Tower
1 Farrer Place
Cboe aims to provide a written response to complaints formally lodged within 20 working days. If Cboe is unable to respond to a complaint within this timeframe, the complainant will be contacted in writing and advised on the status of the complaint, the reasons why it has not been resolved and an estimate of when Cboe expects to be able to respond to the complaint.

Where the matter is not resolved to the satisfaction of the complainant, the complainant should consider contacting the Australian Securities & Investments Commission (ASIC) for advice. ASIC’s contact details are as follows:

Australian Securities and Investments Commission
GPO Box 9827
Your Capital City
Phone 1300 300 630 (international +61 3 5177 3777)