



TMX AUSTRALIA EXCHANGE

Complaints Handling Policy





1. INTRODUCTION

1.1. Purpose

TMX Australia Exchange, which is the trading name of TMX Australia Exchange Pty Limited (previously Cboe Australia Pty Ltd) ("TMX"), is committed to conducting business with integrity and accountability. Customers that are unsatisfied with the products, services, decisions, or actions of TMX or its employees are entitled to make a complaint TMX will ensure that all complaints about its conduct are considered appropriately.

This policy sets out how customers may make a complaint. Complaints must be lodged within 2 years of the event that gave rise to the complaint.

Note that this policy only covers complaints about the conduct of TMX and does not cover complaints about the conduct of TMX participants, product issuers, or listees. Customers wishing to make a complaint about the conduct of these entities should contact TMX Compliance using the details in the documents and request information about how to lodge a report of misconduct in relation to a participant, issuer, or listee.

1.2. Market Operator Obligations

As outlined under the [ASIC Regulatory Guide 172](#), in assessing a market operator's compliance with its obligations under s 792A(c) of the [Corporations Act 2001 \(Cth\)](#) to have adequate arrangements for operating the market venue, ASIC considers how a market operator handles complaints about the market venue or services offered by the market operator (including data services), issuers, listees or participants.

2. INITIAL COMPLAINTS

2.1. All Complaints Other Than Those Concerning Compliance Function

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

Compliance
TMX Australia Exchange
Email: au.compliance@cboe.com
Telephone: +61 2 8078 1718

2.2. Complaints Concerning Compliance Function

Initial complaints concerning TMX's compliance function should be provided by letter or email addressed to the Head of Compliance. Contact details for this purpose are as follows:

Head of Compliance
TMX Australia Exchange
Level 23, Governor Phillip Tower
1 Farrer Place
Sydney NSW 2000 Australia

OR

Email: AU.headofcompliance@cboe.com

3. CONSIDERATION OF INITIAL COMPLAINTS

Upon receipt of a complaint, TMX Compliance may request additional information from the complainant if required and, depending on the complexity and seriousness of the complaint, may endeavour to resolve the complaint over the telephone. If this cannot be achieved, TMX Compliance will investigate the facts and circumstances of the complaint and respond to the complainant in writing as soon as possible. This may involve analysis of any supporting material or evidence provided as part of the complaint.

Where the complaint concerns TMX Compliance itself, the Head of Compliance will generally investigate the facts and circumstances of the complaint personally and will respond to the complainant as soon as possible. However, the Head of Compliance must notify the TMX Compliance Committee and may refer the



matter to that committee if, in their view, it would be more appropriate for the matter to be considered at arm's length. If this occurs, the committee is responsible for investigating the facts and circumstances of the complaint and responding to the complainant.

4. FURTHER COMPLAINTS

If the complaint is not satisfied with the resolution of the initial complaint, they may lodge a further complaint. This complaint should include a comprehensive summary of the issues to date as well as all supporting documents or other relevant material. Further complaints should be provided by letter or email addressed to the Head of Compliance. Contact details for this purpose are as follows:

Head of Compliance
TMX Australia Exchange
Level 23, Governor Phillip Tower
1 Farrer Place
Sydney NSW 2000 Australia

OR

Email: AU.headofcompliance@cboe.com

Further Complaints generally involve the substance of the matter being considered afresh. The TMX Compliance Committee is notified of all further complaints and may take carriage of the matter if, in its view, it would be more appropriate for it to consider the matter. TMX aims to provide a written response to further complaints within 20 working days of receipt. If TMX 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 TMX expects to be able to respond to the complaint.

5. EXTERNAL COMPLAINT SUBMISSION

If 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:

GPO Box 9872
Melbourne VIC 3001

OR

<https://www.asic.gov.au/about-asic/contact-us/report-issue-to-asic/>

OR

Phone 1300 300 630 (international +61 3 5177 5407)

Note that TMX is not required to be a member of the Australian Financial Complaints Authority ("AFCA") and is not a member of AFCA.



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