



Complaints Handling Policy

1 Introduction

The following procedures should be followed concerning complaints about the way that Chi-X Australia Pty Limited (“Chi-X”) 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 Chi-X’s compliance function should be by letter addressed to the Chairman of the Board at Chi-X’s offices.

All other Complaints

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

Head of Compliance

Email: compliance-cxa@chi-x.com

Telephone: +61 2 8078 1700

3 Initial Discussion of Complaint

Upon receipt of a complaint, Chi-X 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, Chi-X 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 Chi-X 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
Chi-X 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
Chi-X Australia Pty Ltd
Level 23, Governor Phillip Tower
1 Farrer Place
Sydney NSW 2000 Australia

Chi-X aims to provide a written response to complaints formally lodged within 20 working days. If Chi-X 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 Chi-X 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)