



Complaints Management Policy

投诉管理政策

Company(公司): Prospero Markets Pty Ltd

ACN: 145 048 577

AFSL: 423 034

Date Updated(更新日期): September 2021 (2021年9月)

***For complaints received on or after 5 October 2021**

***仅限在2021年10月5日及之后收到的投诉**



VERSION CONTROL

版本

Version Number 版本	Date Updated 更新日期	Notes 备注
1	September 2021 2021年9月	Original document prepared and finalised in consultation with Sophie Grace Pty Ltd. 原始文件在与Sophie Grace公司咨询下准备完成

1. INTRODUCTION

概述

- 1.1 Prospero Markets Pty Ltd (“Prospero Markets”) is committed to effective and efficient complaints management and to fair and transparent dealings in the financial marketplace.

Prospero Markets Pty Ltd (“浦华证券”) 致力于有力和高效的投诉管理以及在金融市场中公平透明的处理投诉。

- 1.2 A complaint is 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.

投诉是对于其产品、服务、员工或投诉的处理相关内容而向组织表达不满或表达对组织的不满，并在其中明确或隐含地期望得到解决或在法律上要求作出回应解决。

2. OUR COMPLAINTS MANAGEMENT PROCESS

我们的投诉管理流程

- 2.1 We take your feedback seriously and will work proactively to investigate and resolve your complaint. If you have a complaint, please contact us by any of the following methods:

我们认真对待您的反馈意见并会积极调查和解决您的投诉。如果您有任何投诉，请以以下任一方式联系我们：

- (a) Email: support@prosperomarkets.com; or
邮箱: support@prosperomarkets.com; 或
- (b) Phone: 1300 768 888; or
电话: 1300 768 888; 或
- (c) Post: Prospero Markets, Level 4, 990 Whitehorse Road, Box Hill, Victoria, 3128
信件邮寄: Prospero Markets, Level 4, 990 Whitehorse Road, Box Hill, Victoria, 3128

(d) Social Media:

Facebook: Direct Message us

Twitter: @market_pty

Instagram: @Prosperomarkets or Direct Message us

Linkedin: @Prospero Markets Pty Ltd

Wechat Official Account: leave us message

Youtube: leave us comments

社交媒体:

Facebook: 直接通过Message给我们账号发消息

Twitter: @market_pty

Instagram: @Prosperomarkets 或者直接给我们账号发消息

Linkedin: @Prospero Markets Pty Ltd

微信官方服务号: 留言给我们

Youtube: 在我们频道发布的视频下方留评论给我们

2.2 Any material relating to Prospero Markets' Internal Dispute Resolution ("IDR") process will be provided to you free of charge.

我们将免费向您提供任何关于浦华证券内部纠纷解决 ("IDR") 流程的资料。

2.3 We will collect certain information from you, including:

我们将会向您收集以下信息，包括：

(a) Your name;

您的姓名；

(b) Your contact details;

您的联系方式；

(c) How you would prefer to be contacted;

您希望被联系的方式；

- (d) A description of your complaint; and
对投诉的描述；以及
- (e) How you would like the complaint resolved.
您希望您的投诉被如何解决。

2.4 We will acknowledge your complaint, generally within one (1) business day, and give you the contact details of the person responsible for dealing with your complaint.

我们通常会在一个(1)个工作日内确认您的投诉，并向您提供负责处理您的投诉的人员的联系方式。

2.5 The person responsible for dealing with your complaint will commence their investigation and may require further details from you. Upon completion of their investigation, the person responsible for dealing with your complaint will contact you with an IDR response. This will provide you with information about:

负责处理您的投诉的人员将开始调查，并可能需要您提供更多详细信息。完成调查后，负责处理您的投诉的人员将与您联系并提供内部纠纷解决（“IDR”）回复。这将为为您提供以下信息：

- (a) the final outcome of your complaint at IDR; and
您在内部纠纷解决（“IDR”）投诉的最终结果；以及
- (b) your right to take the complaint to the Australian Financial Complaints Authority (“**AFCA**”) if you are not satisfied with the IDR response and how to contact AFCA.

如果您对内部纠纷解决（“IDR”）的回应以及如何联系澳大利亚金融投诉局（“AFCA”）不满意，您有权向澳大利亚金融投诉局（“AFCA”）提出投诉。

2.6 An IDR response is not required to be provided to you when a complaint is resolved by the end of the fifth (5th) business day of receipt of the complaint, where we have:

当我们在收到投诉的第五(5)个工作日结束前解决投诉时，则不需要向您提供内部纠纷解决（“IDR”）回复，如果我们：

- (a) resolved the complaint to your satisfaction; or
在您满意的情况下解决了投诉；或
- (b) given you an explanation and/or apology when no further action to reasonably address the complaint can be taken.

当无法采取进一步行动来合理解决投诉时，向您作出解释和/或道歉。

2.7 A written response will be provided if:

如有下列情况，将提供书面答复：

- (a) you request a written response; or
您要求书面答复;或
- (b) the complaint is about hardship.
投诉是关于因为特殊原因导致的经济困难。

3. TIMEFRAME FOR RESOLVING COMPLAINTS

解决投诉的时间表

- 3.1 We endeavour to resolve all complaints as quickly as practicable. Many complaints can be resolved within days or on the spot. We will keep you informed in relation to your dispute and will provide you with an IDR response within thirty (30) calendar days of receiving your complaint.

我们会努力尽快解决所有的投诉。许多投诉可以在几天内或当场解决。我们会随时通知您有关您的投诉的信息，并会在收到您的投诉后三十(30)个日历日内向您提供内部纠纷解决（“IDR”）回复。

4. IF YOU ARE UNHAPPY WITH OUR RESPONSE

如果您不满意我们的回复

- 4.1 If your complaint is not resolved to your satisfaction through our IDR process, you have the right to refer your complaint to AFCA. AFCA is an independent and external dispute resolution scheme, of which Prospero Markets is a member.

如果您的投诉未能在我们的内部纠纷解决（“IDR”）流程中得到满意的解决，您有权将您的投诉提交给澳大利亚金融投诉局（“AFCA”）。澳大利亚金融投诉局（“AFCA”）是一个独立的外部争议解决机制，浦华证券是其中的成员。

- 4.2 You can lodge your complaint with AFCA by sending the relevant information and documents to:

您可以将相关信息和文件发送至以下地址，向澳大利亚金融投诉局（“AFCA”）提出投诉：

Australian Financial Complaints Authority Limited

GPO Box 3

Melbourne VIC 3001

Phone: 1800 931 678

Fax: (03) 9613 6399

Email: info@afca.org.au

Website: <https://www.afca.org.au/>

澳大利亚金融投诉管理局有限公司

地址: GPO Box 3

Melbourne VIC 3001

电话: 1800 931 678

传真: (03) 9613 6399

邮箱: info@afca.org.au

网址: <https://www.afca.org.au/>

5. ACCESSIBILITY SERVICES

无障碍服务

5.1 We take our commitment to provide accessible services to customers seriously. 我们认真对待向客户提供无障碍服务的承诺。

5.2 If you are deaf or have a hearing or speech impairment, you can contact us on the National Relay Service, a government initiative that offers an Australia-wide phone service for people who are deaf or have a hearing or speech impairment. It's available at no additional charge:

如果你是聋人或有听力或语言障碍，你可以通过国家中继服务（National Relay Service）联系我们，这是一个政府发起的为聋人或有听力或语言障碍的人提供全澳大利亚的电话服务，并且完全免费提供：

(a) Talk to text users, please call 133 677 and then ask for 1300 768 888; 与文字使用者交谈，请先拨打133 677再拨打1300 768 888;

(b) Speak to listen users, please call 1300 555 727 and then ask for 1300 768 888; 与聆听用户交谈，请拨打1300 555 727，然后拨打1300 768 888;

- (c) Internet relay users, please [connect to the NRS](#) and then ask for 1300 768 888.

互联网中继用户，请到国家中继服务（“NRS”），然后拨打1300 768 888。

- 5.3 If you require this Policy in another language, please contact us at the details below.

如果您需要另一种语言版本的资料，请通过以下方式联系我们。

6. CONTACT US

联系我们

- 6.1 If you have any questions or would like further information about our complaints handling process, please contact us by:

如果您有任何问题或想了解更多关于我们解决投诉的过程，请通过下面的详细信息与我们联系

- (a) Email: support@prosperomarkets.com; or

邮件: support@prosperomarkets.com;或

- (b) Phone: 1300 768 888; or

电话: 1300 768 888;或

- (c) Post: Prospero Markets, Level 4, 990 Whitehorse Road, Box Hill, Victoria, 3128

信件邮寄: Prospero Markets, Level 4, 990 Whitehorse Road, Box Hill, Victoria, 3128

