[PLEASE USE DISTRIBUTOR LETTERHEAD]

# Distributor Notice of Complaint

[insert date]

Cromwell Funds Management Limited
Attention: Compliance Officer
DDO@cromwell.com.au

Dear Cromwell

**QUARTERLY DDO REPORTING (COMPLAINTS) — [INSERT FUND NAME AND ARSN]**

[**Insert distributor name, ACN and AFSL no**.], distributor of the [**insert fund name and ARSN**] (**Product**)], advises of the following significant dealing with respect to the Product.

|  |  |
| --- | --- |
| Date(s) of the complaint | Include both:* date that the complaint occurred, along with any other relevant dates
* date the distributor received the complaint
 |
| Principal product involved in complaint | Primary product name/ID |
| Complaint description  | Describe the complaint, including why it is not consistent with the target market determination. |
| Is complaint about the authorised representative of an AFS licensee? | Yes/No/Unknown If Yes, please provide unique identifier |
| Complaints Status | Open / Re-opened / Withdrawn / Closed |
| Complaint outcome(s) | See below codes |
| Monetary compensation | Amount of monetary compensation provided |
| Other | Further commentary if required. |

Compliant outcome(s)

1 = No outcome provided

2 = Apology

3 = Full/partial waiver of debt/ interest/fees

4 = Capitalisation of arrears

5 = Repayment arrangement

6 = Timeframe for refinance

7 = Timeframe for sale/surrender of asset

8 = Hardship superannuation release

9 = Policy/contract altered/voided/cancelled

10 = Other product, service or resolution provided

11= Monetary compensation

12 = other, please describe