

# Client Complaints Handling Policy – Complainants Guide

EY Australia only

## 1. Introduction

The EY organisation is dedicated to delivering exceptional service and upholding the highest standards of professionalism and integrity. Our commitment to excellence in service delivery includes a dedicated process for acknowledging, investigating, and resolving client and stakeholder complaints in a fair, transparent and timely manner.

This policy applies to complaints in relation to products or services provided in Australia. For statutory audits or Accreditation Services (ADR Services), please refer to the complaints process outlined in the engagement agreement.

If your matter relates to a whistleblowing disclosure, please refer to the [EY Australia Whistleblowing Policy](#).

## 2. What is a complaint?

A complaint is an expression of dissatisfaction, whether verbal or in writing, made to the EY organisation by a client, professional membership organisation or regulatory body where a response or resolution is explicitly or implicitly expected or legally required.

A complaint may involve one or more of the following aspects:

- ▶ The level, quality and timeliness of service provided.
- ▶ The level or quality of EY communications.
- ▶ The failure to comply with EY policies.
- ▶ The failure to comply with regulatory or legal requirements.

### 2.1 Making a complaint

We acknowledge your right to express dissatisfaction, and we are committed to addressing your concerns promptly and efficiently. If you are less than fully satisfied with the quality of our services or have a specific complaint, please contact the engagement partner in the first instance.

Alternatively, you may lodge a complaint using any of the channels below:

- ▶ Submit a report through the [EY Ethics Hotline](#)
- ▶ Online using the contact form on the [Connect with Us](#) page at [ey.com](#) and selecting *Complaints* from the drop-down menu
- ▶ Over the phone by calling the Chief Compliance Officer on (02) 9248 5555
- ▶ By mail to the Chief Compliance Officer, GPO Box 2646, Sydney, NSW, 2001

If you require additional assistance to lodge a complaint, our staff are available to support you and provide further information about the complaints handling process.

## 2.2 Information needed

To assist us to investigate your complaint, we encourage you to include the following information:

- Your name and contact details (optional when using the EY Ethics Hotline)
- If you are an EY client, please advise the nature of the services provided
- Details of the EY partner or staff members involved
- Details of the complaint and any supporting documentation available

## 3. What happens after I lodge a complaint?

1. **Acknowledgement:** We will acknowledge the receipt of your complaint within one business day.
2. **Assessment and investigation:** We will investigate all relevant facts, circumstances, and information surrounding the complaint.
3. **Our response:** We will keep you informed of the progress of the complaint, including if it is not possible to resolve the complaint within 30 days.

## 4. Further action

If your complaint is not resolved to your satisfaction, you have the right to refer your complaint to an external dispute resolutions or regulatory body.

Organisation / Regulatory body	For complaints relating to:	Refer to:
Australian Data and Insights Association (ADIA)	Privacy matters involving market research engagements	<a href="https://dataandinsights.com.au">https://dataandinsights.com.au</a>
Australian Financial Complaints Authority (AFCA)	The provision of financial services provided under an Australian Financial Services License (AFSL)	<a href="http://www.afca.org.au">www.afca.org.au</a>
Australian Property Institute (API)	Valuation engagements and EY registered valuers	<a href="https://www.api.org.au">https://www.api.org.au</a>
Australian Securities & Investments Commission	EY liquidators or other misconduct within ASIC's jurisdiction	<a href="http://www.asic.gov.au">www.asic.gov.au</a>
Chartered Accountants Australia and New Zealand (CA ANZ)	Members of this professional body. All partners of EY are members of CA ANZ.	<a href="http://www.charteredaccountantsanz.com">www.charteredaccountantsanz.com</a>
Office of the Migration Agents Registration Authority	EY registered migration agents	<a href="http://www.mara.gov.au">www.mara.gov.au</a>
Office of the Legal Services Commissioner	EY lawyers registered in New South Wales	<a href="http://www.olsc.nsw.gov.au">www.olsc.nsw.gov.au</a>
Queensland Legal Services Commission	EY lawyers registered in Queensland	<a href="http://www.lsc.qld.gov.au">www.lsc.qld.gov.au</a>
Tax Practitioners Board	EY registered tax agents	<a href="http://www(tpb.gov.au">www(tpb.gov.au</a>
Valuers Registration Board of Queensland	EY registered valuers in Queensland	<a href="https://vrbq.qld.gov.au">https://vrbq.qld.gov.au</a>
Victorian Legal Services Board & Commissioner	EY lawyers registered in Victoria	<a href="http://www.lsb.vic.gov.au">www.lsb.vic.gov.au</a>
Western Australia Legal Practice Board	EY lawyers registered in Western Australia	<a href="http://www.lpbwa.org.au">www.lpbwa.org.au</a>

## **EY | Building a better working world**

**EY exists to build a better working world, helping to create long-term value for clients, people and society and build trust in the capital markets.**

**Enabled by data and technology, diverse EY teams in over 150 countries provide trust through assurance and help clients grow, transform and operate.**

**Working across assurance, consulting, law, strategy, tax and transactions, EY teams ask better questions to find new answers for the complex issues facing our world today.**

EY refers to the global organization, and may refer to one or more, of the member firms of Ernst & Young Global Limited, each of which is a separate legal entity. Ernst & Young Global Limited, a UK company limited by guarantee, does not provide services to clients. Information about how EY collects and uses personal data and a description of the rights individuals have under data protection legislation are available via [ey.com/privacy](http://ey.com/privacy). EY member firms do not practice law where prohibited by local laws. For more information about our organization, please visit [ey.com](http://ey.com).

© 2024 Ernst & Young, Australia  
All Rights Reserved.

Liability limited by a scheme approved under Professional Standards Legislation.

APAC no. [SCORE number] 376045

ED None



In line with EY's commitment to minimize its impact on the environment, this document has been printed on paper with a high recycled content.

Ernst & Young is a registered trademark.

This communication provides general information which is current at the time of production. The information contained in this communication does not constitute advice and should not be relied on as such. Professional advice should be sought prior to any action being taken in reliance on any of the information. Ernst & Young disclaims all responsibility and liability (including, without limitation, for any direct or indirect or consequential costs, loss or damage or loss of profits) arising from anything done or omitted to be done by any party in reliance, whether wholly or partially, on any of the information.

[ey.com](http://ey.com)