

ASX is committed to conducting business in an open and accountable way. We value all customer feedback, whether it is a compliment, a suggestion or a complaint.

While we try our best, we understand that we may not always get it right and we may not always meet our customers' expectations. Feedback provides us with valuable insights into the views and experiences of our customers and helps us to improve the quality of our products and services.

We are therefore committed to listening to all customer feedback and dealing with it appropriately.

This document outlines ASX's policy and process for handling customer feedback.

What is customer feedback?

Customer feedback is a compliment, suggestion or complaint.

ASX defines a 'compliment' as:

An unsolicited expression of praise, encouragement or gratitude made to or about ASX related to its products, services, staff or the handling of a complaint.

ASX defines a 'suggestion' as:

A proposal, piece of advice or idea put forward to ASX for consideration related to its products, services, staff or the handling of a complaint.

ASX defines a 'complaint' as:

An expression of dissatisfaction made to or about ASX related to its products or services, the conduct of an ASX employee towards a customer, staff or the handling of a customer complaint.¹

Who can lodge customer feedback?

Anyone who uses ASX products or services is regarded by ASX as a customer and can provide feedback (including complaints) to ASX about those products or services. This applies even where they are not paying a fee to ASX for the product or service.

How do I lodge customer feedback?

There are two options for our customers to provide feedback:

- Online web form
- Phone

Customers are strongly encouraged to lodge their feedback via the online web form, as it ensures data consistency and the correct people are swiftly engaged to address the feedback. If a customer is unable to lodge feedback online, ASX staff can submit customer feedback via the web form on their behalf.

W <https://www.asx.com.au/about/contact-asx/customer-feedback>

¹ ASX also receives complaints:

- alleging that an ASX-regulated entity has breached ASX's rules or engaged in some other form of misconduct – these are characterised as 'reports of misconduct', rather than customer complaints, and handled in accordance with ASX's [Reports of Misconduct Policy](#)
- related to its role as a benchmark administrator – these are characterised as 'benchmark complaints', rather than customer complaints, and handled in accordance with ASX's [Benchmark Complaints Policy](#).
- about the decisions it has made under its rules – these are characterised as 'rule decision complaints', rather than customer complaints, and are handled in accordance with ASX's [Rule Decision Complaints Policy](#).

In each case above, this applies even where the person making the complaint is a customer of ASX.

Alternatively you can use the method below, however ASX is unable to guarantee delivery or response timeframes with this avenue.

T 131 ASX (131 279) or +61 2 9338 0000 (from overseas)

For any concerns regarding staff conduct, please contact ASX People and Culture at peopleandculture@asx.com.au

How will privacy be respected?

ASX will not disclose the personal information provided in feedback to any third parties outside ASX unless: (1) ASX considers it reasonably necessary to do so in order to act on the feedback, (2) ASX is required or authorised by law to do so, or (3) you consent to the disclosure. You also have the option to lodge feedback anonymously.

[ASX's Privacy Statement](#) has further details on how ASX handles personal information and your rights in relation to your personal information held by ASX.

How will ASX respond?

You will receive an automated email acknowledging receipt upon your feedback's successful submission to ASX's online feedback facility. We will endeavour to send the acknowledgement within 5 business days. Your feedback will be reviewed and if necessary, we will contact you for more information. We will use our best efforts to provide a formal response to feedback within 15 business days. If it looks like it is going to take us longer than that, we will advise of the delay.

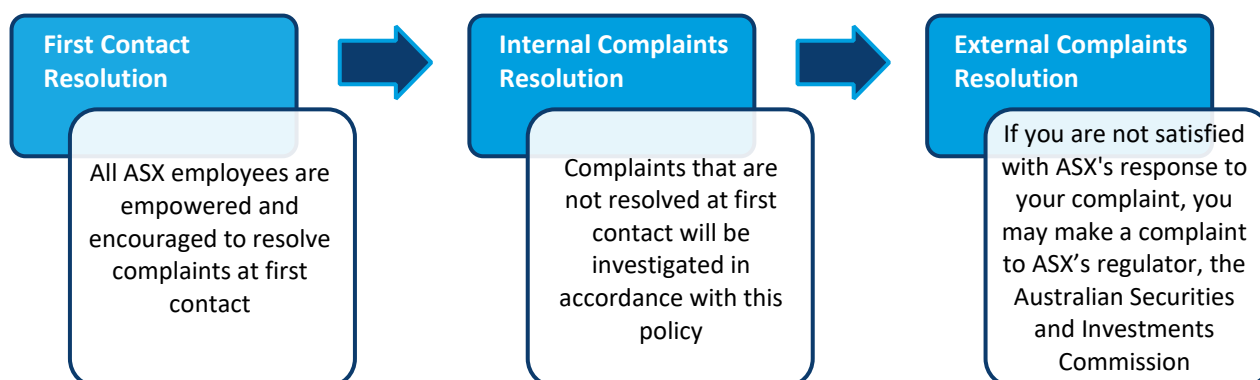
You will **not** receive a response to your feedback if:

- 1) you make it anonymously
- 2) you do not provide a valid email address
- 3) you specify in your feedback that you do not wish to receive any communications from ASX in relation to it, or
- 4) it contains obscenities or abusive or threatening language.

In the latter case ASX may also ban the complainant from lodging future feedback with ASX.

How will a complaint be handled?

The diagram below outlines at a high level the process ASX follows when it receives a customer complaint.



If I need to, how can I escalate a complaint?

If at any time you are not satisfied with the way in which ASX has responded to your complaint, you may escalate with the reason for your dissatisfaction:

Internally at ASX to:

ASX Investor Support Management

W www.asx.com.au/contact

Externally to ASX's regulator:

Australian Securities and Investments Commission:

W www.asic.gov.au/about-asic/contact-us/how-to-complain/report-misconduct-to-asic