

RIAA operates its Responsible Investment Certification Program (the Program) to improve the performance of responsible investing by the Australasian investment industry. The Program aims to provide a level of confidence (via use of the Trade Mark Symbol) for wholesale and retail consumers of certified products. The Program does not seek to set standards in responsible and ethical investing, rather it sets requirements related to improved behaviours aimed at benefiting the consumer, namely (for the purposes of investment products):

- Requiring transparency of responsible investment strategies, underlying holdings and product results and performance; and
- Applying a level of verification to test whether products are marketed “true to label”.

Of greatest importance to the viability and ultimate success of the Program is the maintenance of its credibility and its value to investing consumers. We therefore invite and welcome our stakeholders submitting to us their feedback and concerns about any issues related to the Program.

A full copy of the **Concerns & Grievance Policy and Procedure** is available at responsibleinvestment.org or by contacting RIAA’s office on (02) 8228 8100.

We are committed to responding to all feedback and concerns in a timely, respectful and helpful manner. To the largest extent possible, it is the responsibility of the RIAA CEO to respond, but some matters may be escalated to the RIAA Board for resolution. In these cases, responding to your feedback or concerns may take more time. We request your patience and respect in all communications with RIAA, regarding your inputs.

Our formal procedures contains statements regarding RIAA’s and stakeholder responsibilities as well as the process for managing potential conflicts of interest. By entering this Concerns & Grievance process you have the responsibility of communicating clearly and working cooperatively with RIAA towards resolving complaints within this C&G process.

Please document and submit the concern or grievance to info@responsibleinvestment.org using clear, precise, objective and transparent wording to minimise confusion and misinterpretation.

Where possible, refer to specific RIAA and Program documents, statements or guidelines that bring this grievance into effect; and/or provide examples of product mislabelling, etc. as relevant.

RIAA will then classify your concern and delegate it to the most appropriate officer. We will assess the lines of communication, privacy matters and any conflicts of interest that may arise from your particular matter. We are trained in undertaking this assessment and regularly update our training to stay abreast with changes to privacy, consumer and other relevant regulations.

We will then acknowledge receipt of your concern and outline the process we will take to respond and resolve it. The investigation period will then commence at which time we may seek additional information from you and other stakeholders party to the concern or grievance. On considering the information available to us, we then hope to move to the resolution stage which involves us providing a written proposal to you and you acknowledging the steps that we’ve taken to respond to your concerns. We may not always be able to resolve a situation to your complete satisfaction, but we will endeavour to respond in a way that is consistent with the Program intent on all occasions. If you are not happy with the outcome or how your matter is handled, you may appeal to a board sub-committee which has been established to respond to escalated grievances and stakeholder appeals.