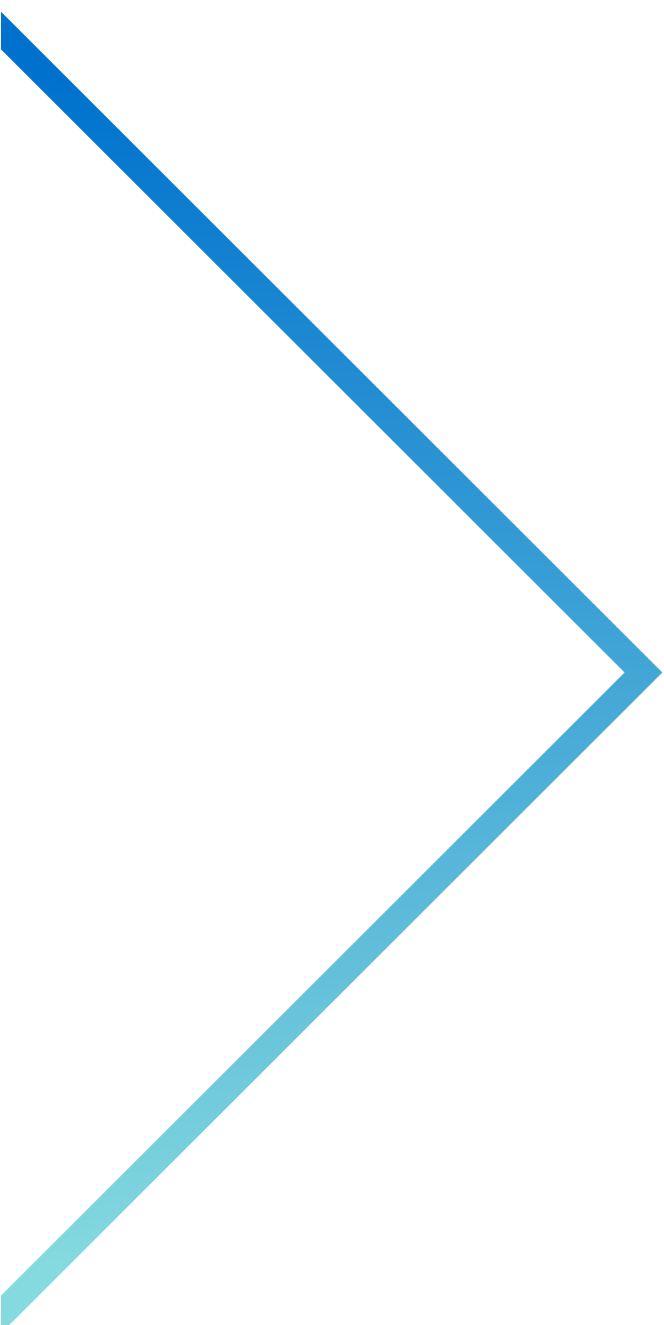




ASIC
Australian Securities &
Investments Commission

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Complaint management policy

August 2026

About this policy

This policy sets out our approach to managing complaints about our services, decisions, actions or staff members.

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A Policy objective

Purpose

- 1 As Australia's corporate, markets and financial services regulator, ASIC values the public's right to complain about our services, decisions, actions and officers. We are committed to treating complaints seriously and dealing with them promptly, fairly and genuinely.
- 2 The information gained from complaints helps us improve our policies, systems and services, which in turn helps us to achieve our [strategic priorities](#).
- 3 This policy sets out our approach to managing complaints. It is underpinned by our complaint management framework of supporting systems and internal procedures.

B Complaint management

- 4 We consider a complaint to be:

An expression of dissatisfaction made to ASIC related to our services, decisions, actions or the actions of our staff members, or the complaint management process itself, that ASIC has been unable to resolve in the first instance, and where a response is expected.
- 5 A complaint is distinct from a request for service. However, a request for service may develop into a complaint if the complainant considers the provision or timeliness of the service to be unsatisfactory.
- 6 This policy does not extend to requests for a review of an ASIC decision or action if the right to do so is granted by law. These reviews will be conducted in accordance with the applicable legislation.
- 7 This policy does not extend to complaints or allegations about third parties unrelated to ASIC. These are considered reports of misconduct and are handled under a different process.

Note: For further information, see Information Sheet 153 [How ASIC deals with reports of misconduct \(INFO 153\)](#).
- 8 Please note that our definition of a complaint does not extend to requests for a review of an ASIC decision or action if the law imposes the right to such a review. ASIC will conduct these reviews in accordance with the applicable legislation.

Governing principles

- 9 ASIC is committed to an accessible, effective, efficient and fair complaint management process. We will:
 - (a) welcome complaints from people who have dealt with ASIC and who are dissatisfied with our services, decisions, actions or staff members;
 - (b) have accessible, transparent and accountable complaint processes;
 - (c) address each complaint in an equitable, objective and unbiased manner;
 - (d) treat all complaints in accordance with our [Privacy policy](#);

- (e) recognise feedback and complaints as opportunities to build knowledge and improve services;
- (f) proactively seek feedback and suggestions for improvement;
- (g) always be courteous and professional; and
- (h) treat complainants with respect and provide them with clear explanations of our actions and decisions, wherever the law or ASIC policy allows.

Note: For further information about ASIC's ability to comment on certain matters, see Information Sheet 152 *Public comment on ASIC's regulatory activities* ([INFO 152](#)).

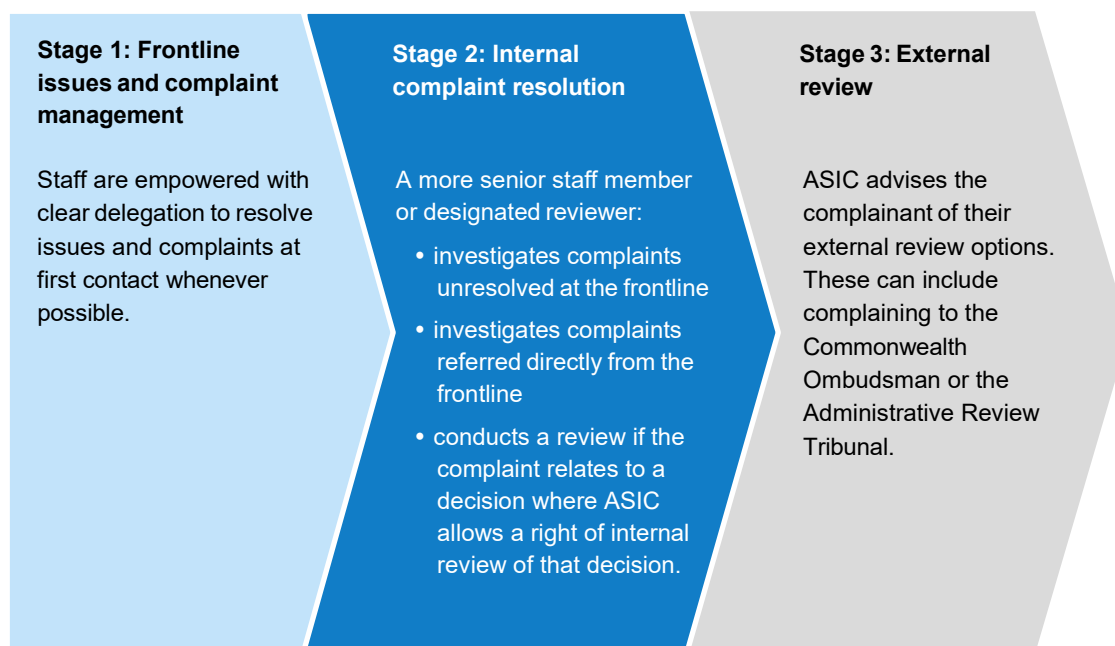
ASIC's approach to complaint management

Stages of the complaint management process

10 For most complaints, we follow the process in Figure 1. However, certain complaints are required by law to undergo a different process.

Note: ASIC will handle public interest disclosures in accordance with the *Public Interest Disclosure Act 2013*. For more information, see ASIC's [Public interest disclosures policy and procedures](#).

Figure 1: Complaint management model



Note: Paragraphs 11 to 17 describe Figure 1 in detail.

- 11 At Stage 1, staff are encouraged and empowered to resolve issues when a complainant first raises them, whenever possible.
- 12 Complainants are encouraged to:
- (a) try to resolve their issue with the ASIC officer that they have been dealing with (or using the telephone number ASIC has given them);
 - (b) if they are not satisfied, talk to that officer's manager; and
 - (c) if they are still not satisfied, consider lodging a formal complaint through ASIC's dedicated complaint channels.
- Note: As set out in Section C, ASIC's formal complaint management and recording procedures only apply once the complaint reaches stage 2.
- 13 If a complaint reaches Stage 2, it can be actioned through:
- (a) a complaint investigation; or
 - (b) an internal review of a decision or action, if we allow a right of internal review.
- 14 A complaint investigation focuses on:
- (a) assessing the complaint to determine ASIC's compliance with our Service Charter, legislation and any applicable ASIC policies and procedures;
 - (b) determining what resolution (if any) may be appropriate, including whether further information should be provided to the complainant about ASIC's position; and
 - (c) trying to identify possible opportunities to improve services and systems.
- 15 If we determine that an internal right of review exists for an ASIC decision or action, only the person or people directly affected by the decision can request a review. The relevant area of ASIC will inform that person or those people of their rights of review.
- 16 In these circumstances, the reviewer:
- (a) is independent of, and no less senior than, the original team member;
 - (b) has the expertise necessary to review the matter; and
 - (c) has access to all relevant material and full cooperation at all levels of ASIC.
- 17 At Stage 3, we will advise a complainant who is unhappy with the outcome of our complaint investigation of their external review rights.

How to make a complaint to ASIC

- 18 ASIC accepts complaints by telephone, mail, email, or online. We will assist complainants with specific requirements, such as needing an interpreter or with using the telephone National Relay Service.
- 19 We accept anonymous complaints, but the extent to which we can address them is limited by ASIC being unable to obtain more information or making further inquiries of an anonymous complainant.
- 20 Information about the complaint management process appears on the [Complaints about ASIC](#) webpage. ASIC's staff members handling complaints over the telephone will explain the process and direct potential complainants to where they can access more information.

How ASIC responds to complaints

- 21 We will:
- (a) acknowledge complaints promptly;
 - (b) inform complainants of the progress of their complaint;
 - (c) assess and finalise each complaint as quickly as possible; and
 - (d) resolve complaints at the first point of contact, wherever possible.

Note: For ASIC's service commitments about acknowledging and finalising complaints, see our [Service charter](#).

Complaint assessment and action

Categorising complaints

- 22 We will:
- (a) categorise and prioritise complaints in accordance with their urgency, seriousness and complexity;
 - (b) address each complaint in a sensitive, equitable, objective, unbiased and professional manner throughout the complaint management process; and
 - (c) where appropriate, refer complaints and/or complainants to external agencies.
- 23 Complaints are categorised into four types:
- (a) non-regulatory (service);
 - (b) regulatory;

- (c) conduct; and
- (d) other.

24 A complaint's categorisation determines how it will be handled.

Non-regulatory (service) complaints

25 ASIC administers Australia's public registers of companies, business names and professionals. In doing this, we register business names and companies, facilitate lodgements to update our registers, and provide public search functions for all public registers.

26 To support this function, ASIC's Registry business unit provides telephone, email and web-based information services to the Australian public and business community, primarily through our Customer Call Centre.

27 We also host a website for publishing notices, including for insolvency and external administration. Under the *Corporations Act 2001* (Corporations Act) and *Corporations Regulations 2001*, we are required to publish these notices. See: [ASIC published notices](#).

28 In the context of our non-regulatory work, members of the public may raise concerns about the delivery of these services. In determining what is a complaint (compared to a request for service), we will assess, among other things, whether we have met our service charter commitments.

29 As described in this section, we will attempt to resolve non-regulatory complaints at the first point of contact. Complaints that are unable to be resolved at this level will be escalated to a more senior officer for review.

Regulatory complaints

30 ASIC considers regulatory complaints to include complaints relating to decisions or actions made in the context of our regulatory role and responsibilities.

31 These decisions are made under the Corporations Act and the *Australian Securities and Investments Commission Act 2001*. They include decisions about applications for financial services and other licences, and decisions or actions taken in relation to ASIC's enforcement powers.

32 For some regulatory complaints there is an internal right of review within the business unit in which they arose. In other circumstances,

complainants may need to direct their complaint to an external review body.

- 33 Whatever the available course of action, ASIC staff members dealing with regulatory complaints will explain to complainants their rights and direct them to the relevant escalation point(s).

Conduct complaints

- 34 A conduct complaint is an allegation of unacceptable conduct made against an ASIC staff member.
- 35 Further information on conduct complaints can be found in Information Sheet 107 *Guidelines for managing complaints about ASIC officers* ([INFO 107](#)).

Other complaints

- 36 Some complaint types do not fit into the categories above or, under the law, they must be handled outside ASIC's usual complaint management procedures. These include complaints about breaches of privacy and public interest disclosures.

Privacy

- 37 We collect only the personal information that is reasonably necessary for, or directly related to, one or more of our functions or activities under the legislation we administer.
- 38 The ASIC Privacy team handles complaints about breaches of the Australian Privacy Principles in accordance with the principles and, where relevant, the Notifiable Data Breaches scheme. Complaints about ASIC in relation to privacy matters can be:
- (a) submitted by online form at the [Complaints about ASIC](#) webpage
 - (b) emailed to privacy@asic.gov.au; or
 - (c) mailed to:

Complaints Officer (Privacy)
Australian Securities and Investments Commission
GPO Box 9827
Melbourne VIC 3001

Public interest disclosures

- 39 ASIC's Chair, under s59 of the *Public Interest Disclosure Act 2013*, established our procedures for dealing with public interest

disclosures. See ASIC's [Public interest disclosures policy and procedures](#).

40 We have appointed authorised officers to handle public interest disclosures, which can be sent to ASIC by:

- (a) email to: pid@asic.gov.au; or
- (b) mail, marked 'Confidential', to:

Chief Risk Officer
Australian Securities and Investments Commission
GPO Box 9827
Melbourne VIC 3001

Complaint outcomes

41 ASIC will advise each complainant about:

- (a) the outcome as soon as possible after the decision is made;
- (b) the reasons for the decision, wherever the law and our policy allow; and

Note: See Information Sheet 152 *Public comment on ASIC's regulatory activities* ([INFO 152](#)) for more information about ASIC's ability to comment on certain matters.

- (c) any available internal review options and/or any statutory external appeal options on inquiry and via the website.

Internal complaint resources and training

42 ASIC staff members handling complaints are provided with internal and external resources to assist them in their complaint handling responsibilities, including how to incorporate best practice principles.

43 Staff members are advised about the importance of complaints made to ASIC and this *Complaint management policy*.

44 We make appropriate technological and other resources available to ASIC staff members to ensure the maximum effectiveness of the complaint management framework.

Complaint monitoring and reporting

- 45 We are committed to continually improving our services and actively monitoring the quality and effectiveness of our complaint management framework.
- 46 We communicate any internal problem or opportunity for improvement revealed by a complaint to the relevant area within ASIC, for possible systemic improvement.
- 47 We regularly report internally on the complaint management framework to evaluate:
 - (a) adherence to statutory, policy and reporting requirements;
 - (b) time taken to finalise complaints;
 - (c) complaint trends and outcomes; and
 - (d) any systemic issues.
- 48 We use the internal complaint management reports to identify opportunities to improve our programs and services.
- 49 We undertake quality assurance on the complaint management framework to evaluate our performance, and ascertain whether our processes:
 - (a) conform with complaint management procedures; and
 - (b) are suitable for achieving complaint management objectives.
- 50 We may actively seek feedback from complainants to determine the level of satisfaction with the complaint management process, through surveys and other means at regular intervals.

C Policy accountabilities and responsibilities

Accountability	Responsibilities
Commission	Ensure ASIC has a complaint management framework that enables staff members to: • deal effectively with complaints; • use complaint information to identify issues and drive improvements; and • refer complainants to the appropriate external agency if they remain aggrieved at the conclusion of ASIC's complaint management process.
Complaints Coordinator	• Implement complaints policy and procedure; • Provide specialist complaint management and support to relevant service delivery areas and business units within ASIC; and • Analyse complaints data, including identifying significant issues and trends from the conduct of complaints and internal reviews.
Managers	Other managers involved in the complaint management process, as applicable within their area of responsibility: • ensure the <i>Complaint management policy</i> is implemented; • liaise with the Complaints Coordinator; • ensure continuous improvement occurs as a result of feedback from complaints.
Staff members and Commission members	All ASIC staff are responsible for responding to complaints in accordance with the <i>Complaint management policy</i>.

Key terms

Term	Meaning in this document
complainant	A person who makes a complaint
complaint	An expression of dissatisfaction made to ASIC related to our services, decisions, actions or the actions of our staff members, or the complaint management process itself, which ASIC has been unable to resolve in the first instance, where a response is expected
Corporations Act	<i>Corporations Act 2001</i>
INFO 152 (for example)	An ASIC Information Sheet (in this example numbered 152)
Manager	A staff member with people management responsibilities
staff member	A person: • employed by ASIC under s120(1) of the ASIC Act; • engaged as a consultant under s121 of the ASIC Act; • seconded under s122 of the ASIC Act; or • employed by ASIC under common law contract

Supporting resources

Supporting policy documents

[ASIC Code of Conduct](#)

[ASIC's Values](#)

[INFO 107](#) *Guidelines for managing complaints about ASIC officers*

[INFO 152](#) *Public comment on ASIC's regulatory activities*

[INFO 153](#) *How ASIC deals with reports of misconduct*

Standards

Australian Standard AS 10002:2022 *Guidelines for complaint management in organizations*

Commonwealth Ombudsman

Better practice guide to complaint handling, 2023

Better practice guide to managing unreasonable complainant conduct, June 2009

Document control

Policy ownership

The Chief Risk Officer is responsible for the development and implementation of this policy.
This policy is reviewed in accordance with ASIC's Enterprise Policy Design and Review Handbook.

Policy governance

Version	Approver	Approval date
1.0–1.5	First issue	September 2015
1.6	Privacy complaint information updated	18 April 2018
1.7	Updating policy template and changing references following ASIC's transition out of the <i>Public Service Act 1999</i>	19 July 2019
1.8	Changes made consistent with Enterprise Policy Framework; Updates to definition of conduct complaints	10 August 2026