

Complaint form to lodge with AFCA

A practical guide for investors connected with the AFL Group

This draft guide helps an investor organise information for a complaint to the Australian Financial Complaints Authority (AFCA) about personal financial advice connected with an AFL managed investment scheme. It is not legal advice and has not been approved or endorsed by AFCA.

For appointment updates, communications, forms and additional information, visit:

[Australian Fiduciaries Limited Group - SV Partners creditors portal](#)

1. Investor personal details (Complainant)

☐ Aboriginal or Torres Strait Islander origin (optional)

Title

First name

Family name

Date of birth

Postal address

State

Postcode

Mobile phone

Email

2. SMSF and investment details

Are you lodging the complaint on behalf of a self-managed superannuation fund (SMSF)?

☐ Yes ☐ No

Name of SMSF

SMSF trustee name

HIN / SRN (if known)

Which AFL investment or scheme did you invest in? Check all that apply.

☐ Global Diversified Alpha Fund

☐ Global All Seasons Fund

☐ Global Multi-Strategy Fund

Other / former scheme name

Approx. amount invested

Approx. investment date(s)

3. Authorised representative (optional)

Complete only if another person or organisation will deal with AFCA for you. AFCA provides a free service. A representative may separately charge for their services.

Full name

Organisation

Relationship to you

Postal address

Phone

Email

4. Financial advice details

Identify the financial firm responsible for the advice when it was given. If unsure, use the AFCA Financial Firm Search before lodging the complaint.

Financial firm complained about. Select the relevant option:

- ☐ APT Strategy Pty Ltd (In Liquidation) - AFCA Membership No. 10167
- ☐ Australian Fiduciaries Limited (In Liquidation) - AFCA Membership No. 35673
- ☐ Another financial advice business or licensee (specify below)

AFCA can only receive complaints about current AFCA members. Search for current AFCA members [here](#).

Other business / licensee

Adviser full name

Adviser business name

AFSL / AR number (if known)

Approx. advice date(s)

How was advice given?

5. Complaint details

What is your complaint about? Check all that apply.

- ☐ The advice was not in my best interests
- ☐ The advice did not consider my needs, financial situation or objectives
- ☐ I was given wrong, incomplete or misleading information
- ☐ The risks, liquidity or valuation of the investment were not properly explained
- ☐ Fees, commissions, conflicts or referral arrangements were not properly disclosed
- ☐ My super was switched or invested without my informed consent
- ☐ My insurance was not dealt with properly
- ☐ I experienced financial hardship, stress or distress
- ☐ Other issue (explain on page 4)

6. Tell AFCA what happened

What advice or recommendation were you given?

Why do you say the advice or conduct was inappropriate?

What did you rely on, and what would you have done differently?

What financial loss or other impact did you experience?

Any other relevant information, including previous complaints and responses:

7. How can AFCA help?

What do you consider to be a fair and reasonable outcome? Check all that apply.

- ☐ Payment for investment losses
- ☐ Payment for lost investment earnings or superannuation growth
- ☐ Refund of financial advice fees
- ☐ Refund of establishment, administration or closure costs for my SMSF
- ☐ Compensation for loss of insurance cover
- ☐ Interest on the amount of loss
- ☐ Compensation for non-financial loss, where available
- ☐ Correction of records or provision of documents
- ☐ An explanation, apology or other non-monetary outcome
- ☐ Other outcome (explain below)

Amount claimed (if known)

Explain how you calculated the amount claimed or describe the outcome sought:

8. Communication and additional assistance

- ☐ I need an interpreter
- ☐ I prefer support with reading or writing

Preferred language

Other communication or accessibility assistance requested

9. Document checklist

Attach copies of documents relevant to your complaint. Keep the originals.

- ☐ Statement or Record of Advice
- ☐ Financial Services Guide and Product Disclosure Statement
- ☐ Superannuation or SMSF statements showing the investment and current value
- ☐ Application forms, transaction confirmations, HIN / SRN records
- ☐ Emails, letters, text messages or call notes with the adviser
- ☐ Invoices or evidence of advice fees, SMSF costs and other expenses
- ☐ Documents showing any insurance loss or replacement cost
- ☐ Earlier complaint to the adviser / licensee and its response
- ☐ AFCA correspondence, if the complaint was previously lodged
- ☐ A calculation of the amount claimed and supporting records
- ☐ Any other document that supports the complaint

10. Declaration and submission

By signing, you confirm the information is true and complete to the best of your knowledge and authorise AFCA to use it to handle the complaint.

Complainant name

Signature

Date

Submit directly to AFCA

Online: use the AFCA online complaint portal. Email: info@afca.org.au. Post: Australian Financial Complaints Authority, GPO Box 3, Melbourne VIC 3001. Phone: 1800 931 678.

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Important: This guide does not guarantee AFCA jurisdiction or compensation through the Compensation Scheme of Last Resort. Time limits and eligibility requirements may apply.