
Internal Complaints Process Policy

Purpose

1. This policy sets out how complaints are to be managed by Nuvview Limited.
2. Nuvview Limited is committed to ensuring all client complaints are handled and resolved in a professional, fair, timely and transparent manner.

Scope

1. This policy applies to Nuvview Limited, our employees, and authorised bodies (if any).
2. A complaint is an expression of dissatisfaction made to us relating to our financial advice services, where a response or resolution is explicitly or implicitly expected. It includes complaints relating to the complaints handling process itself or a failure to provide a service or give advice.
3. Complaints include written or verbal expressions of dissatisfaction, from existing or former clients. If the expression of dissatisfaction is verbal, the client should be asked to put it in writing.
4. Any expression of dissatisfaction referred to our Dispute Resolution Scheme or to the FMA will be considered to be a complaint.

Principles

1. We will make information on how to make a complaint and an overview of our complaints handling process publicly available.
2. We will promptly acknowledge receipt of a complaint and provide the client an overview of our complaints handling process, including informing the client that they may also refer the complaint to our Disputes Resolution Scheme or the FMA at no cost.
3. We will endeavour to resolve the complaint within 10 business days of receipt.
4. A complaint may be considered closed if we have not heard from the client for six months about the complaint or we reasonably believe it is resolved.
5. We will keep records of all complaints, containing details of the complaint, the date it was received, any action taken, its status and those involved in handling it.
6. We will review the cause of a complaint to assess if it is systemic in nature and to determine if our processes can be improved.
7. Where a client's personal information is included in a complaint, we will ensure that it is managed in accordance with the principles set out in the Privacy Act 2020.