

## What will happen if the dispute is unresolved (Deadlocked)?

An FDR scheme has been established by Government in line with legislation changes that require any person or organisation providing financial services or advice to retail clients to be registered with the Financial Service Providers Register (FSPR). One of the requirements of registration is membership of an external and independent dispute resolution scheme. We have registered with such a scheme.

If no response is received to your complaint within ninety (90) days, or your dispute remains unresolved, you are invited to contact in writing:

Freepost 231075  
Financial Dispute Resolution  
P.O. Box 5730  
WELLINGTON 6145

Level 9  
109 Featherston Street  
WELLINGTON 6011

Free phone 0508 337 337  
Fax 04 918 4901  
Web [www.fdr.org.nz](http://www.fdr.org.nz)  
Email [enquiries@fdr.org.nz](mailto:enquiries@fdr.org.nz)

FDR will not accept complaints from consumers unless the complaint has been lodged with NZ Forestry & Land Investments Limited first, and NZ Forestry & Land Investments Limited has had an opportunity to respond. The complaint should have come to the end of NZ Forestry & Land Investments Limited's complaint process and be in deadlock, although FDR has the discretion to accept complaints that have not reached deadlock – as long all parties to the dispute agree to this course of action.

## Are there restrictions on type of complaint I can make to the FDR?

FDR cannot accept complaints about a NZ Forestry & Land Investments Limited's prices, its general policies and practices, nor commercial judgements. FDR cannot award compensation over \$200,000, nor accept complaints from organisations that have more than 19 full-time staff (complaints from organisations with more than 19 staff may be considered by FDR, and can be accepted at FDR's discretion).

## What should you do if the dispute remains unresolved (Deadlocked)?

Particular complaints may be dealt with by contacting the Securities Commission, the NZ Companies Office or the Ministry of Consumer Affairs. If you are not sure what to do, we advise you to contact and engage your Lawyer, Barrister or Solicitor, who should be able to advise you on the appropriate course of action. Legal advice and representation will be at your cost (notwithstanding any judgement by law to the contrary).

## FSPR & FDR Membership Information

Individuals, Entities, their membership types and membership numbers follow:

NZ Forestry & Land Investments Limited  
Group Service Provider  
FDR Membership # Fm0814  
FSPR Membership # FSP134824

Prosper Hills (2008) Limited  
Authorised Financial Advisor  
FDR Membership # FM0814  
FSPR Membership # FSP134825

Ross Anthony Collins  
Registered Advisor  
FDR Membership # FM0814  
FSPR Membership # FSP134826

Anthony Shane Collins  
Registered Advisor  
FDR Membership # FM0814  
FSPR Membership # FSP134844

### For more information please visit:

[www.nzfil.co.nz/disclaimer](http://www.nzfil.co.nz/disclaimer)  
[www.fspr.govt.nz](http://www.fspr.govt.nz)  
[www.fdr.org](http://www.fdr.org)



**NZ FORESTRY**  
& land investments ltd

## Complaints Process for NZ Forestry & Land Investments Ltd

July 2011



This document is an out line for the Complaints Process for; NZ Forestry & Land Investments Limited, Prosper Hills (2008) Limited, Ross Anthony Collins and Anthony Shane Collins for the purpose of the financial Service providers (Registration and Dispute Resolution) Act 2008.

Complaints Process for; NZ Forestry & Land Investments Limited, Prosper Hills (2008) Limited, Ross Anthony Collins and Anthony Shane Collins. The information in this document is required under the Financial Service Providers (Registration and Dispute Resolution) Act 2008 prepared as at Wednesday 20th July 2011.

## Important information

Investment decisions are very important. They often have long-term consequences. Read all documents carefully. Ask questions. Seek advice before committing yourself. We advise you to read this document along with the current Investment Statement for the offer.

## Complaints Process Key Questions

Page

- 3 What is the complaints process for?
- 3 What should you expect from our complaints resolution process?
- 3 Who do I contact with enquiries about my investment?
- 4 Is there anyone to whom I can complain if I have problems with the investment?
- 4 What information should I include when making complaint?
- 4 What will happen after a complaint is made?
- 4 What are the charges?
- 5 What will happen if the dispute is unresolved (Deadlocked)?
- 5 Are there restrictions on type of complaint I can make to the FDR?
- 5 What should you do if the dispute remains unresolved (Deadlocked)?
- 6 FSPR & FDR Membership Information

## Key terms and descriptions:

FSPR = Financial Service Providers Register

All businesses, companies and individuals offering a Financial Service are legally obligated to be registered here: [www.fspr.govt.nz](http://www.fspr.govt.nz)

DRSL = Dispute Resolution Service Limited

Dispute Resolution Service Limited is a privately owned, independent, government approved Financial Dispute Resolution (FDR) scheme.

FDR = Financial Dispute Resolution

FDR is a scheme operated by the DRSL to aid Shareholders (you) and scheme members (NZ Forestry & Land Investments Limited) to resolve complaints and settle disputes.

In addition to the information in this document, important information can be found in the current registered Prospectus for the investment. You are entitled to a copy of that Prospectus upon request.

## What is the complaints process for?

As a Financial Service Provider (FSP) our organisation is required to have an internal complaints process for handling complaints relating to the financial services we provide. This is one of the requirements of joining Financial Dispute Resolution (FDR), and is an obligation as set out by the Financial Service Providers (Registration and Dispute Resolution) Act 2008.

Here at NZ Forestry & Land Investments Limited, we see an internal complaints handling policy and process is a valuable tool for our business. Every complaint is an opportunity to assess our business processes and improve them wherever possible. A good complaints process provides a way for Shareholders to give feedback on our service; it serves as a quick and efficient means of resolving difficulties as they arise, and it promotes good relations and communication with our Shareholders.

## What should you expect from our complaints process?

You should reasonably expect:

- To be treated with respect and in a fair and courteous manner. This includes ensuring that you understand the language that is being used, i.e. not industry terms, commercial names for products and technical jargon.
- A clear understanding of your options. This includes how to make a complaint, the steps involved in resolving the complaint, and their next level of recourse if the complaint cannot be resolved internally.
- A fair hearing and a clear explanation of the outcome of the complaint even if it is not favourable to you. If your complaint is valid, a suitable resolution should aim to place you in the position that you would have been in had things not gone wrong.

- An assurance that we will acknowledge any wrongdoing or error, and that the same situation will not happen to other people.

## Who do I contact with enquires about my investment?

Shareholders should contact:

Mr. Ross Anthony Collins  
NZ Forestry & Land Investments Limited  
4 William Wood Place  
Resort Pacifica R.D2  
KATIKATI 3178  
Free phone: 0800 746 325.  
Email: [investors@nzfil.co.nz](mailto:investors@nzfil.co.nz)

## Is there anyone to whom I can complain if I have problems with the investment?

If you should experience or have any problems with this investment you should, outline your concerns or the problem you are experiencing and in the first instance write to:

Mr. Ross Anthony Collins  
NZ Forestry & Land Investments Limited  
4 William Wood Place  
Resort Pacifica R.D2  
KATIKATI 3178  
Free phone: 0800 746 325.  
Email: [investors@nzfil.co.nz](mailto:investors@nzfil.co.nz)

There is no Ombudsman to whom complaints can be made concerning this investment.

## What information should I include when making complaint?

A Complaint Form may be downloaded from [www.nzfil.co.nz/disclaimer](http://www.nzfil.co.nz/disclaimer) Alternatively, your written complaint should include:

Which individual or organisation your complaint is about.

The date the event took place.

What your complaint is about.

(include copies of supporting information if appropriate/relevant)

Your name.

Your share code(s) (if known)

Your current:

Complete Postal Address

Phone number

Fax number

Mobile Phone number

Email address

What you would like to happen to resolve the issue.

## What will happen after a complaint is made?

We will acknowledge receipt of your complaint within five (5) working days of receipt of your complaint. This acknowledgment will include a unique Complaint number. Using our Internal Complaints Process, your complaint will be investigated and we will attempt to resolve your complaint as close as possible to your desired resolution. This process should be completed within twenty (20) working days.

## What are the charges?

There is no cost to you for; making a complaint to NZ Forestry & Land Investments Limited, making a complaint to the FDR OR the FDR working with you and NZ Forestry & Land Investments Limited to resolve the dispute. The charges these services attract are paid for by NZ Forestry & Land Investments Limited.