

**QUICK REFERENCE GUIDE:
DESIGN AND DISTRIBUTION
REPORTING OBLIGATIONS**

INTRODUCTION

Design and Distribution Obligations (DDO) commenced on 5 October 2021. This guide advises how regulated persons can provide any information to ANZ as required under DDO or within ANZ's Target Market Determinations (TMDs).

Under DDO, "regulated persons" who engage in retail product distribution conduct are required to report certain information to ANZ. This information may include:

- information on complaints received in relation to ANZ products or their distribution
- details of any significant dealings not consistent with the target market determination
- any other data or information that is required as set out in the product's TMD, including regulator and consumer group feedback.

This information allows ANZ to regularly review our TMDs to ensure that they remain appropriate.

If you have questions that are not covered by this guide, please speak to your ANZ Relationship Manager or Business Development Manager, alternatively you can contact DDO@anz.com.



SIGNIFICANT DEALINGS

A significant dealing report is intended to notify ANZ of a significant dealing in a product that is not consistent with the product's TMD.

Significant dealings relating to ANZ products must be notified to ANZ as soon as practicable and in any case within 10 business days of becoming aware of the significant dealing or as otherwise provided in the TMD.

To submit a notification of a significant dealing, complete the 'significant dealing' [online form](#) on our website. Once the form has been lodged, you will receive a confirmation email of your submission. A member of our team will be in touch should any further information be required.

When providing ANZ with significant dealings data, you must provide the following:

- date(s) the significant dealing occurred;
- description of the significant dealing and why it is not consistent with the TMD;
- why the dealing is significant;
- how the significant dealing was identified; and
- what steps, if any, have been, or will be, taken in relation to the significant dealing.



It's important that you ensure no customer identifying information is included in these reports before submitting to ANZ.

ANZ Personal Business Institutional Search Log In

Find ANZ Support Centre

Significant Dealings Form

Submit Notification of a Significant Dealing not consistent with the Target Market Determination (TMD).
Note: All fields are mandatory.

Individual Submitting this Notification

First Name Last Name

Email Address

Please confirm your email address

I am authorized to submit this Significant Dealing on behalf of the Regulated Person listed below.

Yes, I am authorized

Distributor (i.e. Regulated Person)

Business Name

ABN

Regulated Person has an agreement with ANZ

Please select an option

Significant Dealing Details

From date (DD/MM/YYYY) to date (DD/MM/YYYY)

Product Type

Please select an option

Note: Do not include personal information in the fields below.

Describe the Significant Dealing, including why it is not consistent with the TMD (max 1000 characters)

(If known, please include an approximate figure of how many customers have been (or will be affected) by the dealing and an approximate dollar value of the dealing)

1000

Describe why the dealing is considered significant (max 1000 characters)

1000

Describe how the Significant Dealing was identified (max 1000 characters)

1000

Describe the steps that have been taken to date / are planned to be taken in relation to the Significant Dealing (max 1000 characters)

1000

You understand and agree that:

- ANZ will collect and use your personal information for the purposes of processing this submission and ongoing management of the submission (including any subsequent inquiries about the contents of the submission)
- ANZ Privacy Policy contains information about accessing your information, how you can raise a privacy complaint, and how ANZ will deal with such matters and is available at [www.anz.com/privacy](#).
- This platform is only to be used to upload information required by ANZ.

I confirm all personal information has been removed from this submission

Yes, I confirm

Submit

ANY OTHER FEEDBACK

Like significant dealings, you will be able to provide us with any feedback received from regulators or consumer groups that relates to an ANZ product or its performance.

Should you wish to provide ANZ with any other information that you consider to be required under DDO, you can do so via the 'Other information' form [here](#).

- Please provide a description of any data that has been provided in the relevant free text field.
- Once the form has been lodged, you will receive a confirmation email of your submission.

If you require any further assistance, please contact your ANZ Relationship Manager or ANZ Business Development Manager, alternatively you can contact DDO@anz.com.

The screenshot shows the ANZ 'Other Information Form' web interface. The form is titled 'Other Information Form' and includes a navigation bar with 'Personal', 'Business', and 'Institutional' tabs. The main content area is divided into several sections:

- Individual Submitting this Notification:** Includes fields for 'First Name', 'Last Name', and 'Email Address'. There is a confirmation field for the email address and a checkbox for 'I am authorized to submit this information on behalf of the Regulated Person listed below'.
- Distributor (i.e. Regulated Person):** Includes fields for 'Business Name' and 'ABN'. There is a dropdown menu for 'Regulated Person has an agreement with ANZ'.
- Submission Details:** Includes date pickers for 'From date' and 'To date', and dropdown menus for 'Product Type' and 'Report type'.
- Message to ANZ:** A large text area for providing details as requested in the TMD (max 1000 characters).
- Agreement and Confirmation:** A section for 'You understand and agree that' with bullet points regarding data collection and privacy. It includes a checkbox for 'I confirm all personal information has been removed from this submission' and a 'Submit' button.

COMPLAINTS REPORTING

Regulated persons must provide complaints information to ANZ periodically as outlined in the TMDs. Complaint information is to be provided to ANZ no later than 10 business days after the relevant reporting period (or as otherwise provided in the TMD).

These reports should include a summary of the number of complaints received and the substance of those complaints.

All personal customer information should be removed from the report.

For five or less complaints, the data can be reported via [ANZ DDO Reporting Portal](#).

For more than five complaints please complete the Excel template available [here](#) and submit via email to DDO@anz.com.

This periodic DDO complaint reporting obligation is separate to ANZ's complaint management and internal dispute resolution requirements. If a customer wishes to make a complaint, the customer should be [referred to ANZ](#).

For any assistance you can contact DDO@anz.com.



It's important that you ensure no customer identifying information is included.

HOW TO SUBMIT

1. Enter your details.

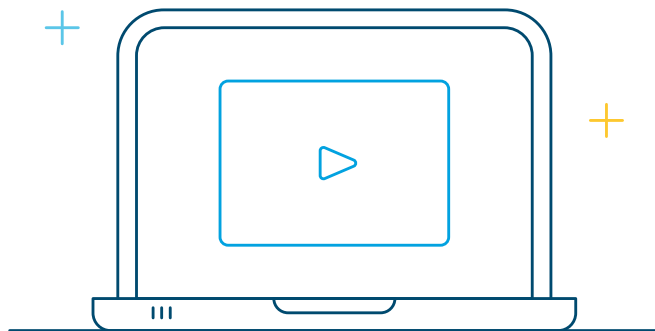
2. Select the number of complaints and complete all the relevant information and submit.

3. Once the form has been lodged or emailed, you will receive a confirmation email of your submission.

You do not need to report to us if you have not received any complaints in the reporting period.

RESOURCES

- [Target Market Determinations](#)
- [Notify ANZ of a significant dealing](#)
- [Complaints information reporting template](#)



CONTACTS

If you require any further assistance, please contact your ANZ Relationship Manager or ANZ Business Development Manager.

Alternatively, you can contact DDO@anz.com for further assistance.

On receipt, a system generated response will be sent, if you do not receive this response, please resubmit.

