

FINANCIAL INDUSTRY COMPLAINTS SERVICE LIMITED

ABN 64 068 901 904

FICS 2nd Annual Conference *Dispute Resolution- the FICS Approach*

9 & 10 September 2004, Swiss Grand Hotel Bondi Beach

In response to the wishes of Members and other stakeholders the Financial Industry Complaints Service takes an in-depth look at how Internal and External Dispute Resolution operates and how FICS responds to these wishes.

Leaders from industry, consumer movement, Panel, regulator and experts in the fields of psychology and health focus on the issues encountered day by day.

We are pleased to present:

- **The Opening Address – Jeffrey Lucy, Chairman, Australian Securities & Investments Commission**

Following the introduction of the Financial Services Reform Act in March this year progress on licensing and External Dispute Resolution will be profiled.

- **Chief Executive's Report – Alison Maynard, FICS Limited**

The Implementation Plan, which followed the independent review of the Service, is completed. We look at what is going well, what isn't and how Members are performing in dispute resolution.

- **The FICS Management Team – A discussion chaired by David Squire, Director, FICS Limited**

Michael D'Argaville, Denny Meadows and Trevor Slater are probed on the Rules of the Service, speedier throughput of complaints and disputes and improved service to Members.

- **The Panel Chair's Perspective – Michael Arnold**

A look at the important decision-making issues for FICS and Members.

- **Conciliation at FICS – Michael Ridgeway, Conciliation Manager, FICS Limited**

Posing the question – "Is conciliation the way to go?" we balance the merits of agreement or determination in resolving disputes.



**Enquiries: Maria Romeo, preferably by email, mromeo@fics.asn.au
or telephone (03) 8623 2017**

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- **What do Industry and Consumers want from FICS? – A panel discussion, facilitated by Clare Petre, Energy & Water Ombudsman, NSW**

Richard Gilbert, IFSA; David Horsfield, SDIA; Peter Kell, ACA; Kerrie Kelly, FPA; Jenni Mack, Director, FICS Limited and Alison Maynard, Chief Executive, FICS Limited state their views.

- **Internal Dispute Resolution – What Works and What Doesn't? – Trevor Slater, National Relations Manager, FICS Limited**

Chairing a session with Noel Duffin, AMP Financial Planning, Jenny Kinnear, Goldman Sachs JB Were (Stockbroking) and Charlie Trkulja, Commonwealth Banking Corporation (Life Insurance), Trevor Slater explores ways for Members to resolve disputes without the involvement of FICS.

- **Querulous Complainants - Michael Edwardson, MD Psychologica® - Corporate and Consumer Psychologists**

How to handle "difficult" complainants and a view of frivolous and vexatious complaints.

Michael Edwardson appears by arrangement with Wiesener & Associates

- **Case Studies – Workshop – Michael Arnold, Panel Chair and Panel Members**

The Case Studies used are based on actual referrals to the Service. The issues involved are explored by delegates in breakout sessions. Delegates participate in the decision-making process.

- **Role of Experts in Dispute Resolution – Dr. Stephen Vaughan, MB, BS, FRACP, FRCPA is interviewed by Michael Arnold, Panel Chair**

- **Complaints Resolution – Anyone can do it! – Trevor Slater, National Relations Manager**

Prevention and de-escalation of complaints when they arise are examined.

Our second national conference will be held in a relaxed and congenial atmosphere at Australia's most famous beach location Bondi Beach. In keeping with this, delegates may wish to dress in smart casual clothing.

You are encouraged to make accommodation booking in Sydney as early as possible. The Swiss Grand Bondi Hotel is 20 minutes from Sydney airport and 15 minutes from the Sydney CBD. Their website www.swissgrand.com.au provides information about the hotel and the environment. Bookings there can be made on (02) 9365 5666; Toll Free 1800 655 252.

Alison Maynard
Chief Executive

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