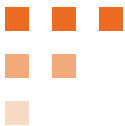




# Complaint Handling Procedure

FundRock LIS S.A.





Dear Client,

Customer satisfaction is very important to us. We, FundRock LIS S.A., part of Apex Group, are committed to provide our services in the interest and to the fullest satisfaction of our customers. The following rules are the basis of our internal complaint management and guidelines for dealing with complaints.

Customer complaints are understood as all statements made by customers with whom they express their dissatisfaction with the services of FundRock LIS S.A. or their employees and/or service providers.

Although we aim to provide a high standard of service, it can happen that errors are made, which may give rise to complaints. Should you be in this situation, your complaint should be addressed in writing to the FundRock LIS S.A.'s complaint mailbox or to the responsible person for the complaints handling. All complaints will be processed free of charge.

In general, a complaint can be filed in English, French, Luxembourgish, or German, however, in relation to a branch, a complaint may also be filled in one of the official languages of the country in which the branch is located. Complaints will be answered in the language in which the complaint was raised.

The contact details are as follows:

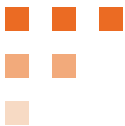
Complaints mailbox: [complaints@fundrock.com](mailto:complaints@fundrock.com)

FundRock LIS S.A.  
Attn: Mr Wolfram Huwer  
Airport Center Luxembourg  
5, Heienhaff, L-1736 Luxembourg

To be able to deal with the complaint in a timely and appropriate manner, the complaint should cover the following information:

- exact identity and contact details and, in the event of a deviation, that of the affected party;
- reason for the complaint;
- precise information (including any documents that may be available) about the matter;
- quantifying any damage that may have occurred;
- expectations for resolving the conflict.

A written acknowledgement of receipt will be provided to you within a period not to exceed 10 business days after receipt of the complaint, unless the response itself is provided to you within that period. The written acknowledgement will provide you with the name and contact information of the person responsible for your file.



The person in charge of the file shall:

- keep you informed of the follow-up of the complaint;
- provide an answer without undue delay and in any case, within a period which cannot exceed one month between the date of receipt of the complaint and the date at which the answer was sent to you.

If a response cannot be provided within this period, the person in charge of the file will inform you of the reasons for the delay and indicate the date when the review is expected to be completed.

In case the answer to your complaint does not lead to a satisfactory solution for you, the person in charge of the file will provide you with a full explanation of FundRock LIS' position regarding the complaint.

If you are unsatisfied with the given response, you may contact the responsible member of the management committee for complaints, Mr. Christian Hertz (email contact: [complaints@fundrock.com](mailto:complaints@fundrock.com)).

We inform you that there is an out-of-court complaint procedure with the CSSF (our supervisory authority). If you wish, you may refer the matter to the CSSF. Please note that if you choose to use this out-of-court complaint procedure, the complaint must be submitted to the CSSF within one year of the date on which the complaint was submitted to us. Complaints received after this deadline will not be accepted.

The "Request for out-of-court complaint resolution with the CSSF" form and the CSSF regulation 16-07 relating to the out-of-court resolution of complaints can be found on the following website: <https://www.cssf.lu/en/customer-complaints/>

The contact details of the CSSF are follows:

Commission de Surveillance du Secteur Financier  
Département Juridique CC  
283, route d'Arlon L-2991 Luxembourg

Website: <https://www.cssf.lu>

Email: [reclamation@cssf.lu](mailto:reclamation@cssf.lu)

Fax: (+352) 26 25 1 – 2601

We remain at your disposal for any further questions.

FundRock LIS S.A.