

# UBS Third Party Management Company S.A.

Registered Office: 33A avenue J.F. Kennedy, B.P. 91, L-2010 Luxembourg  
Registre de commerce: Luxembourg B 0045991

## Complaints Handling

UBS Third Party Management Company S.A. (the "Management Company") has adopted a Complaints policy, which provides a common, clear and precise understanding of the way in which the Management Company handles investors' or clients' complaints, including a clear definition of the roles and responsibilities of the different stakeholders.

The Management Company takes all complaints raised by investors seriously, gives them the highest attention and deals with them in an efficient and timely manner in the best interests of investors.

Investors or clients are entitled to file complaints free of charge with the Management Company in an official language of their home country in writing, by post, by fax or by e-mail to the below contact details:

UBS Third Party Management Company S.A.

Compliance department  
33A, Avenue J.F. Kennedy  
B.P.91, L-2010 Luxembourg  
Fax: 00 (352) 27 15 69 99  
Email : [sh-ubsfml-compliance@ubs.com](mailto:sh-ubsfml-compliance@ubs.com)

The Compliance department is in charge of handling and following-up the complaint and will inform the investors or the clients about the name and contact details of the person responsible for following-up the complaint. The written acknowledgement of receipt, including name and contact details of the person in charge of the complaint will be provided to the investor within 10 (ten) business day after receipt of the complaint, unless the answer itself is provided to the investors or clients within this period. The complaint response must be provided 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 to the investor was sent. Where an answer cannot be provided within this period, the investor or client must be informed of the reason of the delay and the date at which the answer is likely to be provided. Where the complaint handling by the person in charge of the complaint did not result in a satisfactory answer for the investor or the client or, when no answer has not been provided to the investor or the client, the investor or the client is entitled to raise the complaint up to the Director in charge of the complaints, as follows:

Director in charge of the complaints  
33A, Avenue J.F. Kennedy  
B.P.91, L-2010 Luxembourg  
[dl-fml-co@ubs.com](mailto:dl-fml-co@ubs.com)

## Out-of-court resolution of complaints

If, the investors or the clients have not received an answer or a satisfactory answer from the Director in charge of the complaints within one month from the date at which they sent their

complaint, they may refer the matter to the Luxembourg Regulator, Commission de Surveillance du Secteur Financier (CSSF) by using the form to be found on the following website (the investor will also find under this website inter alia the CSSF Regulation relating to Out-Of-Court Complaint Resolution and relevant CSSF Circulars):

<https://www.cssf.lu/en/customer-complaint/>

This form may be sent to the CSSF by post, email or fax as follows:

Commission de Surveillance du Secteur Financier  
Département Juridique CC  
283, Route d'Arlon  
L-2991 Luxembourg  
Email: [reclamation@cssf.lu](mailto:reclamation@cssf.lu) Fax: (+352) 26 25 1 – 2601

The investor may file a request with the CSSF within one year after it has filed the complaint with the Director in charge of the complaints.