

## Information to the complaint procedure Alceda Fund Management S.A.

Dear investors, dear stakeholders of our products

The satisfaction of our customers and potential customers is our first and foremost priority. In doing so the handling of complaints have a particular importance. Your valuable references help us to continuously improve our processes and procedures. Therefore, the Alceda Fund Management S.A formed a special complaint entity, which can be contacted if you want to complain or express any kind of criticism. By offering the complaint management we also meet the legal requirements. The company Aquila Capital Concepts GmbH is responsible for the management of complaints towards Alceda Fund Management S.A. within the group.

The Luxembourg legislator abstractly defines the concept of a complaint as a „complaint“ which has been submitted to the financial services provider for the recognition of a right or compensation claim (Article 1 of the CSSF regulation No. 16-07). Referring to this, we recognize with the concept of a „customer complaint“ any expression of dissatisfaction with the services of Alceda Fund Management S.A., their employees or service providers.

A complaint can be made personally by telephone, letter, fax or e-mail. These may be formulated in German or in English and should be addressed to either the Alceda Fund Management S.A. or to the Complaint Management department directly which can be reached under the following contact details:

Alceda Fund Management S.A.:

Alceda Fund Management S.A.  
Airport Center Luxembourg  
5, Heienhaff  
LU-1736 Senningerberg  
Email: [info@alceda.lu](mailto:info@alceda.lu)  
Tel.: +352 248 329 442

Complaint Management:

Aquila Capital Management GmbH  
Sales Operations  
Valentinskamp 70  
20355 Hamburg  
  
Email: [Beschwerdemanagement@aquila-capital.com](mailto:Beschwerdemanagement@aquila-capital.com)  
Tel.: 040 87 50 50 207

Please provide your contact details as well as a description of the facts when you submit your complaint. Of course, the processing of complaints is free of charge.

If we cannot remedy your concern immediately, your complaint will be processed according to the following procedure. The principles presented are excerpts of the internal complaint management policy and outline the guidelines for the processing of complaints.

Every complaint we receive will be documented. You will receive a confirmation of receipt of your complaint within 10 working days at the latest. If necessary your complaint will be forwarded to the Complaint Management immediately. Your complaint will be processed based on our internal complaint management policy in a timely manner, usually no later than a month. If necessary, further information will be required from you. You will be notified of the current status of the processing, the reasons for the delay and the expected date of completion of the processing should the processing take a longer time. This

can be the case if for instance the circumstances are rather complex. The Complaint Management documents all complaints as well as the systematical measures taken for remedy. After completion of the processing you will receive a statement.

Every final decision that does not meet your requirements completely will be explained precisely.

Should this solution not be satisfactory for you, you have the option to uphold your complaint. First you can submit your complaint at **the level of management** of Alceda Fund Management S.A. to the responsible member of management Ms. Désirée Eklund in written form.

If you don't receive a satisfactory answer within a month, it is your choice to use **the procedure for a settlement out of court of complaints of CSSF** according to the regulation CSSF No. 16-07 (please refer <http://www.cssf.lu/de/verbraucher/kundenbeschwerden/>). Please submit your complaint with the documents required by the aforementioned regulation either by post (CSSF, Département Juridique - Service JUR - CC, 283, route d'Arlon, L-1150 Luxembourg), by fax (+352 26251-2601) or by e-mail ([reclamation@cssf.lu](mailto:reclamation@cssf.lu)) to the CSSF. Please note that the complaint must be received by CSSF **within a year** which starts with the submission of the complaint at the level of the management of the financial services provider. If the time limit expires, the application is considered inadmissible.

#### **Interim note: European Online Dispute Resolution Platform**

The European Commission has set up a European Online Dispute Resolution Platform (OS-Platform) at <http://ec.europa.eu/consumers/odr>. The OS-Platform can be used by a consumer for the settlement out of court of a dispute arising from online contracts with a company established in the EU.

The platform itself is not a dispute resolution service provider but merely provides the parties the contact to a competent national arbitration committee.

Further information is available on request or on the homepage of Alceda Fund Management S.A. free of charge.

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