

Complaint Policy

Lombard Odier Funds (Europe) S.A.

Client Complaints

July 2019

Complaints must be submitted in writing to
Lombard Odier Funds (Europe) S.A.
for the attention of the Compliance Department
291 route d'Arlon
L-1150 Luxembourg

Complaints may also be sent to the Company through the distributors or paying agents of the Funds.
Complainants may file their complaint in the official language(s) of their country of residence.

The complaint shall be supported by a statement of the reasons on which it is based together with, inter alia, the following documents:

- a detailed and chronological statement of the facts underlying the complaint and the steps already taken by the applicant;
- in the case where a person acts on behalf of an applicant or on behalf of a legal person, a document showing that the person is legally entitled to act so;
- a copy of a valid ID document of the applicant (natural person) or, where the applicant is a legal person, of the natural person representing this legal person

The written acknowledgement of receipt will be provided to the complainant within a period which shall not exceed 5 business days after receipt of the complaint, unless the answer itself is provided to the complainant within this period.

The Compliance Department is entrusted with the handling of all complaints by a process involving the participation of multiple offices so as to ensure a thorough examination of the issues involved. The Company must handle all complaints with the utmost diligence, transparency and objectivity and must communicate its decision to the investor in writing within 30 calendar days of receipt of the complaint by registered mail with return receipt. All relevant data is logged in the complaint register kept by the Company.

In accordance with article 15(2) of the CSSF regulation 13-02, where the complainant did not obtain an answer or a satisfactory answer at the level at which s/he submitted his/her complaint in the first instance, the complainant has the opportunity to rise the complaint up to the senior management of Lombard Odier Funds (Europe) S.A :

- Mariusz Baranowski, Conducting Officer, Lombard Odier Funds (Europe) S.A., 291 route d'Arlon, L-1150 Luxembourg, tel +352 2778 1002, e-mail: m.baranowski@lombardodier.com

In the absence of a response sent to the investor within the set terms, or if the investor is not satisfied with the resolution of the complaint, before resorting to a court the investor may contact:

- Commission de Surveillance du Secteur Financier (CSSF) (the Luxembourg regulator) who acts as intermediary in out-of-court settlements between companies under its control and their clients. The request must be filed with the CSSF in writing, by post or by fax to the CSSF or by e-mail (to the address/number available on the CSSF website, www.cssf.lu), or online on the CSSF website. In order to facilitate the filing of a request, the CSSF publishes a form on its website.

The rights and guarantees stipulated under Luxembourg law (Law of August 2, 2002) regarding the protection of individuals and the handling of personal information are recognized.