



Complaints processing

Last review : 11/01/2023

This information note is established pursuant to French Financial Market Authority ("AMF") General Regulation and AMF instruction DOC-2012-07. It is aimed to inform ABC arbitrage Asset Management S.A. ("ABAM") clients on the procedure pertaining to complaint processing enforceable from 15 July 2020 on.

Only declarations stating a client's malcontent towards the professional are taken into consideration, excluding information, opinion, clarification or services requests.

Person in charge of processing complaints at ABAM: Compliance and Internal Control Officer

Modalities to submit a complaint to the person in charge:

Postal mail:

ABC arbitrage Asset Management S.A. – Compliance and Internal Control Officer
18 rue du Quatre Septembre 75002 Paris France

Phone : +33 (0)1 53 00 54 63

Email : rcci@abc-arbitrage.com

To make sure that the complaint was well received, we recommend you send it with an acknowledgment of receipt request.

Period for processing:

ABAM commits to providing the client with an acknowledgement receipt within 10 working days. From this acknowledgement, the complaint will be processed within a maximum 2 month period. If you are not satisfied with the consequences of processing your complaint, you can reach out to:

Réclamations des clients au titre de la gestion sous mandat ou de la gestion collective
Autorité des Marchés Financiers
Madame Marielle Cohen-Branche – Médiateur de l'AMF
17 place de la Bourse, 75082 Paris Cedex 02 France
Télécopie : 01.53.45.59.60

The AMF can intervene on the followings:

- Marketing conditions of a financial product;
- Exchange functioning;
- Content of information notice to investors;
- Order settlement;
- Problems of portfolio management;
- Problems of Custody accounts.