

Information note on complaints management

The satisfaction and trust of our clients are very important to us, and we are committed to act in the best interests of our clients and in particular to handle complaints received from clients and potential clients promptly and effectively. In this context - and in accordance with the applicable AMF requirements - the Firm has established a process for handling complaints effectively and in an independent manner. The present note aims at informing clients and potential clients about the way they can address complaints to **LGT Private Debt (France) S.A.S.** (the “Firm”).¹ The present note also provides information about the arrangements implemented and maintained within the Firm for handling complaints, including response time, as well as the contact details of the Ombudsman service in France. The present note is available on the Firm’s website.

A **client complaint** must be understood as any oral or written **expression of dissatisfaction** - whether justified or not - emanating from or on behalf of a client or a potential client and addressed to the Firm in relation to financial services provided and/or financial activities carried out by the Firm.

Note: Requesting a service, information, clarification or an opinion does not constitute a complaint.

HOW CAN YOU ADDRESS A COMPLAINT IN RELATION TO THE FINANCIAL PRODUCTS MANAGED BY THE FIRM?

- **Either to your usual contact:** you can address complaints to your usual point of contact (i.e. the local distributor) through whom the financial product(s) managed by the Firm has been promoted and/or distributed to you. In this situation, the local distributor will assess whether i) the complaint can be dealt internally – in this case the complaint will be handled in accordance with the local distributor’s complaints handling procedure – or ii) the complaint needs to be escalated to the Firm – in this case, the complaint will be escalated to the Firm and handled in accordance with the Firm’s complaints handling procedure, the key details of which are provided in the present information note.
- **Or directly to the Firm:** you can also address complaints free of charge by email to the Firm’s Compliance department at the following email address: lgt.cp.lgt-privatedebt-funds@lgtcp.com. Complaints can also be addressed by mail to the following address:

LGT Private Debt (France) S.A.S.
Compliance department
43 avenue de Friedland
75008 PARIS, FRANCE

Complaints may be addressed to the Firm in English, French, German, Italian or Spanish. In the situation where a complaint is sent to the Firm but not directly addressed to the Firm’s Compliance department, such complaint will be redirected to the Firm’s Compliance department.

¹ The Firm is established in France and is registered and authorised by the *Autorité des marchés financiers* as a full-scope alternative investment fund manager. The Firm manages alternative investments funds, which are distributed mainly through the LGT Capital Partners group / entities of LGT Bank – in some specific jurisdictions, the funds managed by the Firm may be distributed by third-party distributors.

THE FIRM'S KEY PRINCIPLES FOR HANDLING COMPLAINTS

The process for handling complaints implemented within the Firm is designed to meet the following key principles:

- The Firm undertakes to handle complaints **effectively** and **in an independent manner**.
- The Firm undertakes to respond **promptly** and **free of charge** to complaints received from clients and potential clients.
- The Firm undertakes to communicate with clients and potential clients **clearly, in plain language** that is **easy to understand**.
- The Firm undertakes to **make available on its website the present note** and **keep it up-to-date**.

HOW DOES THE FIRM HANDLE COMPLAINTS?

The Firm will conduct an assessment of the validity of the complaint. If the complaint is deemed to be valid then at this stage the Firm will respond in more details to the complainant incorporating, if appropriate, a proposal for compensation or information on other remedial action. If the complaint is deemed not to be valid then the Firm will issue a reply setting out the reasons for its determination.

RESPONSE TIME EXPECTATIONS

The Firm is committed to promptly reply to complaints:

- The Firm will aim at acknowledging the complaint it has received **within three business days**.
- **Within eight weeks**, the Firm would generally have assessed the validity of the complaint and be able to reply to the complainant. In the situation where the Firm needs more time to assess the validity of the complaint, the Firm will inform the client and communicate on an expected response date.
- **At any time**, the client can request the Firm to provide an update on the complaint submitted. The Firm is committed to provide such an update as soon as possible.

MEDIATION BY THE FRENCH FINANCIAL SERVICES REGULATORY AUTHORITY

If you are unsatisfied with the Firm's response, you may also file your complaint with the Ombudsman of the **Autorité des marchés financiers** (the 'AMF'), which is the financial services regulatory authority in France.

You can file a complaint with the Ombudsman electronically by completing the online form on the AMF website (<https://www.amf-france.org/en/amf-ombudsman/mediation-file/request-mediation>), or by post to the following address:

AMF Ombudsman
Autorité des marchés financiers
17 place de la Bourse
75082 PARIS CEDEX 02

The AMF Ombudsman mediation charter is available on the AMF website: <https://www.amf-france.org/en/amf-ombudsman/how-mediation-works/mediation-charter>