

Executive Summary of the Customer Complaints Procedure for Citco Nederland B.V.

This document is an executive summary of Citco Nederland B.V.'s ("CNE") Customer Complaints Procedure (the "Procedure"), which addresses how to deal with complaints that our customers and their relevant counterparties may have and want to lodge with CNE.

This Procedure will ensure that:

- complaints are dealt with fairly and promptly;
- the customer is properly informed throughout the process;
- complaints are reported to management accurately;
- there is a standardized way of handling customer complaints.

Core features of the Procedure

- **Initial response to customer complaints:** CNE commits to provide a written acknowledgement of receipt of a written complaint within 3 working days.
- **Resolution of a customer complaint:** Where possible CNE commits to resolve a complaint within 30 calendar days. The customer will be notified timely if the complaint cannot be resolved within 30 calendar days. An extended response will be discussed with the customer.
- **Making a complaint:** A customer can make a complaint verbally or in writing to the responsible Trust Officer, (Senior) Account Manager, the management board, or any other CNE employee.
- **Referral to the management board:** Where the business has not resolved the complaint in first instance, the complaint has to be escalated to the management board of CNE.
- **Complaints Register:** Each complaint received and the measures taken to resolve it, is registered and properly recorded.