



MUFG Lux Management Company S.A.

Customer Complaint Handling Guidelines

Last update

13/06/2024

The purpose of this document is to provide clear, precise and up-to-date information on the complaint handling procedure implemented by MUFG Lux Management Company S.A. (hereafter “MUFGLM”) in accordance with the CSSF Regulation 16-07 relating to the out-of-court complaint resolution (“the Regulation”).

1. What is a complaint?

A complaint is an expression of dissatisfaction made to MUFGLM that is related to the services provided by MUFGLM or to the complaint handling process itself and where a response or resolution is expected by the complainant.

2. How to make a complaint?

As a principle, a complaint must be formally presented in writing in order to be acknowledged, even if the complaint has already been expressed verbally to MUFGLM.

The written communication must be addressed to the MUFGLM Complaints Handling Officer.

By email:	complaints_MUFGLM@lu.tr.mufg.jp
By post:	MUFG Lux Management Company S.A. Complaints Handling Officer 287-289, route d'Arlon L-1150 Luxembourg

The complainant shall explain in detail the facts behind the complaint, providing all relevant supporting documentation if applicable. When making a complaint, please, provide the following information:

- your name, position and contact details;
- your relationship with MUFGLM;
- your contact person within MUFGLM;
- a written summary of the complaint (including when the conduct giving rise to the complaint occurred);
- copies of any documentation supporting the complaint.

3. Complaint handling process

Upon receipt of any complaint, MUFGLM will record the relevant details. A written acknowledgement will be issued to the complainant within five (5) Business Days after receipt of the complaint and will include the name and contact details of the person in charge of the complaint handling process.

MUFGLM will investigate the complaint and will provide to the complainant written explanation of the outcome of the investigation no later than one month after receipt of the


complaint. Where a response cannot be provided within the prescribed period of one month, the complainant will be informed of the cause for the delay with an indication of the date by which the investigation will be completed and a final response issued. MUFGLM might request from the complainant additional information or evidences required to resolve the complaint.

4. CSSF out-of-court complaint resolution

If the complaint handling by MUFGLM does not result in a satisfactory answer for the complainant, the complainant may contact the Commission de Surveillance du Secteur Financier (CSSF) for out-of-court resolution within one year after he/she filed the complaint with MUFGLM.

All required information regarding out-of-court resolution of complaints by the CSSF can be found via the following link: <https://www.cssf.lu/en/customer-complaints/>

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MUFG Lux Management Company S.A.
287-289, route d'Arlon
L-1150 Luxembourg

<https://www.mufg-investorservices.com/mufglm/>