



**COMPLAINTS PROCEDURE RULES
FOR THE PROVISION OF INVESTMENT SERVICES**



Generali Investments CEE, investiční společnost, a.s.
Na Pankráci 1720/123, 140 00 Praha 4, Czech Republic
Company ID No.: 43873766



Table of Contents:

1	INTRODUCTION	3
2	SUMMARY OF TERMS AND ABBREVIATIONS	3
3	ESSENTIALS OF A COMPLAINT OR GRIEVANCE	3

1 Introduction

The Complaints Procedure Rules in Generali Investments CEE, investiční společnost, a.s. for the Provision of Investment Services (hereinafter the "**Complaints Procedure Rules**") have been prepared as of 1 January 2016. The Complaints Procedure Rules are available on request in the registered office of the Company or at the Company's website <http://www.generali-investments.cz>.

Generali Investments CEE, investiční společnost, a.s. reserves the right to amend or supplement the Complaints Procedure Rules at any time without prior notice.

The Client will be notified of any significant amendments in advance.

For the purposes of this document, the capitalised terms used herein have the meaning defined in the Business Terms and Conditions Regulating the Provision of the Investment Services of Client Asset Management and Investment Advisory of Generali Investments CEE, investiční společnost, a. s., unless stipulated otherwise.

2 Summary of Terms and Abbreviations

Company – Generali Investments CEE, investiční společnost a.s., with its registered office at Na Pankráci 1720/123, 140 21 Praha 4, Czech Republic, Company ID No.: 43873766, entered into the Commercial Register maintained by the Municipal Court in Prague, file No. B 1031

Client – natural or legal person with a contractual relationship with the Company that regulates the provision of investment services consisting in the management of the client's assets and investment advisory services in terms of Section 11(1)(c) and (f) of the AICIF, irrespective of the Client's categorisation.

3 Essentials of a Complaint or Grievance

A complaint is the Client's submission if the Client believes that the Company has failed to meet a contractual arrangement or acted contrary to the applicable laws and regulations.

A complaint or grievance submitted by the Client must contain:

- Thorough identification of the Client,
- The Client's correspondence address or, as applicable, the Client's telephone number or e-mail for inquiries concerning any details of the Client's complaint or grievance,
- Accurate description of the event which is the subject matter of the complaint or the contents of the grievance, supported by any and all available documents and other significant information (such as excerpts, copies of orders and other information),
- Date when the complaint or grievance is submitted.

The Company is entitled to request the Client to submit further documents relating to the complaint or grievance. The Client is obliged to provide any assistance necessary during the proper review and resolution of the complaint or grievance. An incomplete complaint may be supplemented by the Client within 10 calendar days of receiving a request for additional information. If the Client fails to supplement the complaint at the Company's request, the Company shall handle the complaint, if possible, on the basis of the incomplete information, otherwise the Company shall dismiss the complaint.

Submission of Complaints or Grievances and Notification of the Resolution Thereof

The Client may submit his or her complaint or grievance by any of the following means:

- Send the Client's written complaint or grievance by mail to the correspondence address of Generali Investments CEE, investiční společnost, a.s., P.O. BOX 405, 660 05 Brno, Czech Republic



- Lodge the Client's complaint or grievance personally with the Client Centre of Generali Investments CEE, investiční společnost, a.s., Křenová 71, 602 00 Brno, Czech Republic
- Send the Client's complaint or grievance by e-mail to info@generali-investments.cz
- File the Client's complaint or grievance by phone, any business day from 8 a.m. to 4.30 p.m., at the telephone No. 844 111 121
- Lodge the Client's complaint or grievance personally or in writing in the registered office of the Company at the address: Generali Investments CEE, investiční společnost, a.s., Na Pankráci 1720/123, 140 21 Praha 4, Czech Republic.

Any verbal complaint or grievance lodged by the Client will be put in writing by employees of the Company. The Client has the right to view the contents of the record. If a complaint or grievance is filed by phone, the Company has the right to record the call.

The Company does not handle any anonymous complaints or grievances; such complaints or grievance are merely registered.

A complaint or grievance shall be resolved within 30 days of receipt by the Company. The period allowed for correcting or supplementing the complaint or grievance is not included in the time period for resolution thereof. If the complaint or grievance cannot be resolved within the stipulated period, the Company informs the Client by registered mail that the investigation is still pending, including the expected resolution date.

Resolution of the complaint or grievance will be notified to the Client in writing or by e-mail, as applicable, unless any other form is individually agreed with the Client. The costs incurred in connection with the handling of complaints or grievances lodged by Clients shall be paid by the Company.

Possibility to Lodge Objections

If the Client is dissatisfied with the resolution of the complaint or grievance, the Client has the right to file a grievance or lodge his or her objections to the decision of the Company with the Czech National Bank, without prejudice to the Client's right to petition a court-of-law.