



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

**Generali Investments CEE, investiční společnost, a.s.**  
Na Pankráci 1720/123, 140 21 Prague 4  
Company ID No.: 43873766



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## **1. Introductory Provisions**

The Complaints Procedure of Generali Investments CEE, investiční společnost, a.s. for the Provision of Investment Services (hereinafter referred to as the “Complaints Procedure”) was prepared in accordance with the legal order of the Czech Republic and EU legislation as of 1 June 2020. The Complaints Procedure is available on request at the Company’s registered office or on its website <http://www.generali-investments.cz>.

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

The Client will be notified in advance of significant changes.

Capitalized terms used in this document have the meanings ascribed to them in the Business Terms and Conditions Regulating the Provision of the Investment Services of Client Asset Management and Investment Advisory Generali Investments CEE, investiční společnost, a. s., unless otherwise stated below.

## **2. Overview of Used Terms and Abbreviations**

**Company** – Generali Investments CEE, investiční společnost a.s., Company ID No.: 43873766, with its registered office at Na Pankráci 1720/123, 140 21 Prague 4, registered in the Commercial Register kept by the Municipal Court in Prague, Section B, Insert 1031.

**Client** – a natural or legal person that has a contractual relationship with the Company, the subject of which is the provision of the investment services of client asset management, receipt and transmission of instructions concerning investment instruments or investment advisory within the meaning of Section 11 paragraph 1 letter (c) (e) or (f) of Act on investment companies and investment funds, regardless of its client categorization.

## **3. Requirements for Claims or Complaints**

A claim is a filing by a Client if he/she believes that the Company has not complied with the contractual agreement, or has acted in violation of legal regulations. A complaint is considered to be any notice directed at an act or other conduct that may have an impact on a Client and further expressions of doubt or dissatisfaction by a Client or any third party.

In order for a person filing a claim or complaint to be properly informed of its handling, such a claim or complaint must include:

- full identification of the person filing the claim or complaint,
- contact address, or telephone or e-mail contact for more detailed questions about the claim or complaint,
- a precise description of the content of the claimed case or complaint, supporting all available documentation and other relevant data (e.g. extract, copy of an instruction and other information),
- the date of filing the claim or complaint.

The Company is entitled to invite a person filing a claim or complaint to complete other documentation relating to such a case. The invited person is obliged to provide the necessary cooperation for the purpose of the proper course and handling of the claim or complaint. An incomplete claim or complaint may be completed by the invited person within 10 calendar days from the delivery of the invitation to complete. If the person filing the claim or complaint does not complete them at the request of the Company, the Company will handle the claim or complaint according to incomplete data, if possible. Otherwise, the claim or complaint will be postponed.



#### **4. Method of Filing Claims or Complaints and Method of Informing about their Handling**

Claims or complaints can be filed in one of the following ways:

- electronically to [portadmin.cz@generali.com](mailto:portadmin.cz@generali.com),
- by telephone every working day from 9.00 to 16.30 on the telephone number +420 281044618,
- in person or in writing to the registered office of the Company at Generali Investments CEE, investiční společnost, a.s., Na Pankráci 1720/123, 140 21 Prague 4.

When filing a claim or complaint in orally, a record of the claim or complaint is made by the Company's employees. A person filing a claim or complaint is entitled to become acquainted with the content of the record. When filing a claim or complaint by telephone, the Company is entitled to record calls.

The Company does not handle anonymous claims or complaints, it only registers them and, if they are sufficiently certain, then investigates them.

The deadline for handling a claim or complaint is **30 days** from the date of filing. In cases where legal proceedings or proceedings before the Financial Arbitrator have been initiated in the same matter, the time limit for handling a claim or complaint shall be suspended until a final decision is issued or such proceedings are discontinued, without prejudice to the Company's right to decide on the claim or complaint.

The day of filing is the day of delivery of a claim or complaint to the Company. In the case of claims or complaints filed electronically, if the claim or complaint is delivered during a weekend or public holiday, it is the following working day.

The time for correcting or completing a claim or complaint is not included in this deadline. If it is not possible to handle a claim or complaint by this deadline, the Company will inform the person filing the claim or complaint that the investigation is still ongoing, including the expected date of handling.

The person filing a claim or complaint is informed about the handling of the claim or complaint in a communication manner determined on the basis of the Company's exclusive decision, but usually in the same communication manner by which the claim or complaint was delivered to the Company, unless otherwise agreed individually. The Company bears the efficiently incurred costs associated with the handling of claims or complaints.

#### **5. Other Means of Protection**

Under the conditions of Act No. 229/2002 Coll., on Financial Arbitrator, as amended, the Client has the right to out-of-court settlement of consumer disputes in the Office of the Financial Arbitrator.

Financial arbitrator office  
Legerova 1581/69  
110 00 Prague 1  
Phone: +420 257 047 070  
e-mail: [arbitr@finarbitr.cz](mailto:arbitr@finarbitr.cz)  
[www.finarbitr.cz](http://www.finarbitr.cz)

In the event that the Client believes that there has been a breach of the Company's obligations under the legal regulations governing its activities, he is entitled to file a complaint or notification with the Czech National Bank.

Czech National Bank  
Na Příkopě 28  
115 03 Prague 1  
Phone: +420 224 411 111  
e-mail: [podatelna@cnb.cz](mailto:podatelna@cnb.cz)  
[www.cnb.cz](http://www.cnb.cz)

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The Client's right to go to court is not affected.

## **6. Efficiency**

This Complaints Procedure comes into force on 1 June 2020.