



Policy for handling clients complaints

2023

Rothschild & Co Asset Management continuously strives to provide the best possible service to its clients.

In this respect, Rothschild & Co Asset Management has set up a customer complaints handling system whose objective is, on the one hand, to improve the satisfaction of its clients through a rapid and reasonable processing of the complaints sent to us; on the other hand, to improve our products, procedures and more globally, the functioning of our firm.

Definition of a Client Complaint

A claim is a statement of your dissatisfaction with Rothschild & Co Asset Management, in connection with any of the services provided to you, the subscription of one of our UCIs and/or AIFs or the legal documentation of one of our funds.

In accordance with AMF Instruction DOC-2012-07, requests for information, advice, clarification, service or provision addressed to Rothschild & Co Asset Management are not claims. These will therefore be processed by our teams without being considered claims.

Procedure for submission of complaints

A claim is a statement of your dissatisfaction with Rothschild & Co Asset Management, in connection with any of the services provided to you, the subscription of one of our UCIs and/or AIFs or the legal documentation of one of our funds.

Each client or investor of Rothschild & Co Asset Management (whether professional or non professional) may send free of charge any complaint it considers appropriate by post, email or telephone:

- soit par mail ou par téléphone auprès de son interlocuteur habituel au sein de R&CO AM EUR&CO AM (ou au sein d'un délégué de R&CO AM EUR&CO AM), en précisant qu'il s'agit d'une réclamation (en cas de réclamation par téléphone, une confirmation écrite par courrier ou par email pourra vous être demandée) ;
- Either by mail or telephone from its usual interlocutor within Rothschild & Co Asset Management (or within a delegatee of Rothschild & Co Asset Management, specifying that this is a claim (in case of a claim by telephone, a written confirmation by mail or email may be requested);
- Directly to the Head of Compliance and Internal Control (HCIC) of Rothschild & Co Asset Management at:

Rothschild & Co Asset Management
Compliance Department
29, Avenue de Messine
75008 Paris, France

Our Commitment

Rothschild & Co Asset Management ensures that all claims it may receive are processed free of charge, promptly, transparent and as effectively as possible.

Rothschild & Co Asset Management is committed to meeting the following processing deadlines:

- No more than 10 business days from the receipt of the claim to acknowledge receipt, unless the answer itself is provided to you within this period;
- A maximum of 2 months from the date of submission of the claim and the date of submission of the response provided to the client or investor, unless special circumstances occur that Rothschild & Co Asset Management undertakes to justify.

Rothschild & Co Asset Management undertakes to respond to any request for information on the progress of the claim processing.

Rothschild & Co Asset Management undertakes to keep its clients and investors informed when, due to particular circumstances, the deadlines to which Rothschild & Co Asset Management has committed to provide a response may not be respected.

Rothschild & Co Asset Management has set up a claims handling policy in accordance with applicable regulations, in particular to identify deficiencies and monitor the application of appropriate corrective actions.

In addition, beyond the French, clients or investors in units of UCIs and AIFs marketed in a Member State of the European Union may send their claim in the official language of that State and will receive an answer in the same language.

Referral to the AMF Ombudsman

Rothschild & Co Asset Management is an investment management company authorised by the French Financial Markets Authority (AMF).

The AMF has a mediation service that each client or investor has the opportunity to seize in the event that they have not obtained satisfaction from Rothschild & Co Asset Management in the resolution of their claim.

You can contact the Ombudsman of the Financial Markets Authority free of charge:

- By post, at the following address: 17 place de la Bourse 75082 Paris cedex 2
- By electronic form accessible on the AMF's website: <http://www.amf-france.org>.

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About Asset Management division of Rothschild & Co

Dedicated asset management division of the Rothschild & Co Group, we offer personalised management services to a broad client base of institutional investors, financial intermediaries and distributors. We focus our development on a range of open ended funds marketed under four strong brands: Conviction, Valour, Thematic and 4Change, and benefiting from our long term expertise in active and conviction based management as well as delegated management. Based in Paris with locations in 9 countries in Europe, we manage more than 30 billion euros and bring together nearly 170 employees. More information about www.am.eu.rothschildandco.com



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