

## **Complaints Policy**

## SUMMARY

I.	Introduction .....	3
❖	Policy objective .....	3
❖	Field of application.....	3
❖	Regulatory basis.....	3
II.	Definition.....	3
III.	Complaints Policy .....	4
❖	Method .....	4
❖	Processing time.....	4
❖	Service in charge .....	4
IV.	Claims register.....	5
V.	In case of dissatisfaction .....	5

## I. Introduction

### ❖ Policy objective

In case of a client complaint, Kepler Cheuvreux has established a Complaints Management Policy to provide clear, accurate and up-to-date information on the complaints handling process to ensure that client complaints are dealt with promptly.

### ❖ Field of application

This policy applies to all Kepler Cheuvreux group entities except for Kepler Capital Markets, Inc., KCI and Ellipsis AM.

### ❖ Regulatory basis

MIFID 2 directive and AMF 2012-07 instruction about processing of complaints.

ACPR 2022-R-01 recommendation of May 9th 2022 about processing of complaints.

FCA Handbook rules under the section DISP 'Dispute Resolution' section, concerning complaint handling.

## II. Definition

A complaint is an expression of dissatisfaction with Kepler Cheuvreux, regardless of the person or department to whom it is made. Complaints may be made by any person, even if there is no contractual relationship with Kepler Cheuvreux: clients (individuals or professionals), former clients, beneficiaries, persons who have requested a product or service from Kepler Cheuvreux, or who have been requested by Kepler Cheuvreux, including their agents and beneficiaries.

A request for information, advice, clarification, service or benefit is not a claim.

### III. Complaints Policy

#### ❖ Method

The complaint should be addressed in writing

[- Via the contact form on the Kepler Cheuvreux website](#)

At the following address : <https://www.keplercheuvreux.com/fr/contactkc/>

By specifying that it's a complaint in the « subject » part

[- By mail](#)

Addressed to : Kepler Cheuvreux  
**Claims management service / Compliance**  
112 avenue Kléber  
75116 Paris

Claims can be verbally submitted to your account manager (at the customer reception desk, by phone or by instant messaging). Please note that verbal claims don't allow the claimant to have a dated copy of their claim; so we invite the claimant to formalize their request in writing (using the channels specified above).

#### ❖ Processing time

Kepler Cheuvreux undertakes to acknowledge receipt of the claim in writing within 10 working days from the date the claimant sends it (date of sending the email or postmarked as proof).

Thereafter, Kepler Cheuvreux undertakes to respond to any written complaint in a clear and reasoned manner within 2 months from the date of the first written complaint.

#### ❖ Service in charge

The department in charge of processing is the compliance department.

## IV. Claims register

Kepler Cheuvreux maintains a log to record all complaints received.

## V. In case of dissatisfaction

If the client is not satisfied with Kepler Cheuvreux 's response or if he/she has not received any response within the specified timeframe, he/she may refer the matter to a mediator free of charge.

For France : Mediateur de l'Autorité des Marchés Financiers (AMF),

By e-mail : <https://www.amf-france.org/fr/le-mediateur>

or by mail :

Le Médiateur – Autorité des marchés financiers  
17 Place de la Bourse  
75082 PARIS CEDEX 02

For the UK : The Financial Ombudsman

For eligible complaints please contact the Ombudsman Service. An online form is available via their website.

<https://www.financial-ombudsman.org.uk/>

For other countries in the European Union or outside you will need to contact the local competent authority.