

Complaints Management Policy

PATRIZIA Financial Services Limited

For PATRIZIA internal use only

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Table of content

| | |
|--------------------------------------|---|
| 1. Introduction..... | 3 |
| 2. Complaints process | 3 |
| 3. Potential Complaints | 3 |
| 4. Reporting and record keeping..... | 3 |

1. Introduction

PATRIZIA Financial Services Limited (“PFSL” or “the Firm”) operates a Complaints Policy as required by EU legislation including The Alternative Investment Fund Managers Directive (“AIFMD”) and The Markets in Financial Instruments Directive (“MiFID II”). All employee responsible for dealing with clients are aware of this complaints handling procedures.

2. Complaints process

Complaints are any oral or written expression of dissatisfaction, whether justified or not, from, or on behalf of, a client about the provision of, or failure to provide, a financial service or a redress determination, which alleges that the complainant has suffered (or may suffer) financial loss, material distress or material inconvenience. A complaint can be made by a potential, actual or former clients. The complaint can be communicated by any reasonable means (e.g. by letter, telephone, e-mail, social media or in person). It is noted that all complaints should be able to be submitted free of charge.

The Firm’s Compliance Officer and is responsible for analysing complaints and complaints-handling data. Depending upon the outcome of that analysis the Firm will respond in writing, stating: in plain language, the reasons that the complaint has been upheld or not; any remedial actions to be taken by the Firm; and client options available including potential for civil action. Contact details are below:

Contact details for complaints

PATRIZIA Financial Services Limited
Rob Brook
166 Sloane Street
London, SW1X 9QF
UK
Phone: +44 (0) 020 3747 6501
E-mail: rob.brook@patrizia.ag

3. Potential Complaints

If any individual is uncertain as to whether a particular issue amounts to a complaint, it must still be referred to the Compliance Officer of the Firm. Where an error or mistake may have occurred that has not yet been noted by, or notified to, the client but could cause material loss (to the client), the same reporting procedure should be followed heading as “Potential Complaint”. The Firm owes a duty to eligible complainants to inform them of and rectify, where possible, situations which have arisen due to error. Therefore it is also important to review complaints in light of whether the issue could have affected other customers also.

4. Reporting and record keeping

All complaints are also referred to the Management board of The Firm on a periodic basis by The Compliance Officer. All complaints will also be reported to The Financial Conduct Authority and records retained for five years.