

Prepared by:  
Compliance & AML  
Eurizon Asset Management Slovakia, správ. spol., a.s.  
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28 March 2020 (last update)

## 1. Introduction

Eurizon Asset Management Slovakia, správ. spol., a.s. (hereinafter “Eurizon SK”) strives to maintain the reputation of a management company providing high quality professional services. Eurizon SK is committed to addressing the problems, needs and concerns of its clients, investors and unit-holders with the utmost care, transparency and objectivity.

When dealing with complaints, Eurizon SK proceeds in accordance with the relevant legislative requirements and current best market practices. Specific complaint handling procedures have been designed by Eurizon SK to meet, inter alia, the requirements under Art. 38 of Act No. 203/2011 Coll. on collective investment, as amended (hereinafter “CIA”), and Methodical Guidance of the Unit for Supervision over the Financial Market of the National Bank of Slovakia (hereinafter “NBS”) No. 2/2014 of 30 September 2014 on the handling complaints by investment firms and management companies as required by the European Supervisory Authority (European Securities and Markets Authority).

## 2. Definition and submission of complaints

A complaint is a written submission by a client, investor or unit-holder (hereinafter the “complainant”), which expresses dissatisfaction with Eurizon SK, its products, services or processes, in which the complainant - expressly or without any unambiguous expression - expects a response and, as the case may be, a corrective action. A claim, application or another type of submission may also be considered a compliant, if it shows the features specified in the previous sentence.

The complainant is required to provide his/her name, surname and address (in the case of a natural person), its name or business name and registered office (in the case of a legal person), the subject-matter of the complaint (i.e. what the complainant objects or requires, including the true description of the key facts), the date and the handwritten signature. In the absence of any of the above, Eurizon SK will accept the complaint, if the complainant and the subject-matter of the complaint can be identified.

A complaint is deemed to be a paper-based complaint delivered to the registered office of Eurizon SK at the address of Eurizon Asset Management Slovakia, správ. spol., a.s., Mlynske nivy 1, 820 04 Bratislava. An electronic complaint is also considered a complaint and, in such a case, the complainant should use the contact web-form at [www.eurizoncapital.com/sk](http://www.eurizoncapital.com/sk) in the section titled “Kontakty”.

For operational reasons and with regard to the available capacity, Eurizon SK reserves the right not to respond to complaints, which are not submitted by the means specified herein as regards the paper and electronic delivery, nor to submissions, which do not meet the requirements set forth herein, especially if the submission has no connection with Eurizon SK, its products, services or processes.

In particular, complaints concerning Všeobecná úverová banka, as, including its products (bank accounts, loans, cards, etc.) and its services at the point of sale, shall be addressed to the contacts of the bank <https://www.vub.sk/sk/kontakt/>.

## 3. Resolution and escalation of complaints

Eurizon SK will send the complainant a response without undue delay and, in any case, within 10 (ten) working days as

of the receipt of the complaint to Eurizon SK. If Eurizon SK is unable to prepare the response within that deadline, it will only send a confirmation about the receipt of the complaint within the same deadline, with instructions on further procedures. Subsequently, Eurizon SK will send a response within 1 (one) month as of the receipt of the complaint to Eurizon SK. In cases worthy of special consideration, the period referred to in the previous sentence may be extended to a total of 2 (two) months, and the complainant shall be informed of this fact before the expiry of the period referred to in the previous sentence.

The response or confirmation is sent by Eurizon SK in the form, which the complainant or the sender explicitly requests or objectively expects, e.g. the complaint in the electronic form (by mail) is answered in the same form. However, the response to the complainant by e-mail is only made by Eurizon SK on a general level without giving any personal data and information subject to the confidentiality obligation pursuant to CIA.

A written response or confirmation shall be sent to the complainant, who is a registered client, investor or unit-holder in the internal system of Eurizon SK, using the address registered in that system for the purposes of sending documents.

The complainant is entitled to request a review of the response, including the related corrective action, by means of an employee or a department other than the one having initially provided the response (in the response letter, the employee solving the complaint is identified as "Responsible", in the case of email, the solver is usually identical with the sender of the mail). However, such a requirement must be clearly formulated by the complainant. The review of the response, appropriately with the procedures, by which the complaint was initially handled, will be ensured by an employee or department designated by the Chief Executive Officer (CEO) of Eurizon SK.

As a rule, after the resolution of the complaint has not led to a satisfactory response, the complainant has the right to apply to the competent supervisory authority, which, in the Slovak Republic, is NBS or may use Alternative Dispute Resolution (ADR) mechanisms such as mediation or arbitration.

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