



# **Complaint resolution procedure**

**Active Ownership Corporation S.à r.l.  
17, rue de Flaxweiler  
L-6776 Grevenmacher  
T: 00352 288 001 20**

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## Introduction

Active Ownership Corporation S.à r.l. (“**AOCorp**”) is an alternative investment fund manager (“**AIFM**”) authorised by the *Commission de Surveillance du Secteur Financier* (“**CSSF**”) in Luxembourg under Chapter 2 of the law of 12 July 2013 on alternative investment fund managers (“**AIFM Law**”), the Delegated Regulation 231/2013 and all other relevant and applicable Laws, Regulations and CSSF Circulars in their currently valid version.

AOCorp has its registered seat at 17, rue de Flaxweiler, L-6776 Grevenmacher and is governed by the Board of Managers (“**Board**”). It is registered with the Luxembourg Register of Companies (“**R.C.S.**”) under number B 237.258.

AOCorp obtained its AIFM license on 13 August 2019, and is registered with CSSF register number A00002485.

AOCorp inter alia is appointed as AIFM of Active Ownership Fund SCS, SICAV-SIF (R.C.S. register number: B 200.454, CSSF register number: 000008641) (“**AOF**”).

Pursuant to the AIFM Regulation and the relevant European regulations, an AIFM must have a strong internal governance framework that ensures the sound and prudent management of its activities and inherent risks. This means in particular that the internal governance must ensure sound and prudent management of the AIFM’s activities including their inherent risks. In order to achieve this objective an AIFM must set up an internal governance system that complies with the “three-lines-of-defense-model” concept.

In order to fulfil the above mentioned requirements AOCorp developed a Complaints Handling Policy to ensure that any complaint from our investors is dealt with in compliance with CSSF Regulation N° 16-07 relating to out-of-court complaint resolution.

### How to file a complaint

Investors have the right to file complaints free of charge in the official language or one of the official languages of their Member State.

A complaint should be sent in writing via E-mail to:

- [info@activeownership.lu](mailto:info@activeownership.lu)
- You may also send your request by post to:

Active Ownership Corporation S.à r.l.  
17, rue de Flaxweiler  
L-6776 Grevenmacher  
Luxembourg

### Process

As soon as the AIFM has received a complaint, it addresses an acknowledgement of receipt to the complainant within ten (10) business days of receipt of the investor’s complaint.

The AIFM makes all reasonable efforts to respond to investor complaints within one (1) month of receipt of the complaint. Where an answer cannot be provided within this deadline, the AIFM informs the complainant of the causes of the delay and indicates an expected response time.

### **Escalation**

Where the complainant did not obtain an answer or a satisfactory answer from the Complaints Officer, the complainant has the opportunity to raise the complaint up to the management of the AIFM. The relevant contact details will be provided with the response from the Complaints Officer.

### **Out-of-court complaint resolution procedure at the CSSF**

If for any reasons the complainant did not receive an answer or a satisfactory answer the request may be filed with the CSSF at the latest within one (1) year after the complaint was filed with the AIFM.

The request must be filed with the CSSF in writing, by post or by fax to the CSSF or by E-mail (to the address/number available on the CSSF website), or online on the CSSF website. In order to facilitate the filing of a request, the CSSF publishes a form on its website:

<https://www.cssf.lu/en/consumer/complaints/>

You may send your request by post to:

Commission de Surveillance du Secteur Financier  
Département Juridique CC  
283, route d'Arlon  
L-2991 Luxembourg  
[reclamation@cssf.lu](mailto:reclamation@cssf.lu)