



Complaints Procedure

Rothschild & Co Wealth Management (Europe) S.A.

Disclaimer

Rothschild & Co is committed to providing high quality investment services, however we recognise that there may be times when you have cause to complain. Occasionally things may go wrong and we will do our utmost to resolve your problem promptly, fairly and courteously to your satisfaction.

Contacts

If you have any reason to complain you can contact us by :

- Calling your Client Advisor
- Sending an e-mail to your Client Advisor
- Writing to:

Attention : Compliance Department

Rothschild & Co Wealth Management (Europe) S.A.

41 Avenue de la Liberté

L - 1931 Luxembourg

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1. Will you acknowledge my complaint?

We will aim to resolve your concerns within 10 working days. If this is not possible, we will write to you, acknowledging receipt of your complaint within 10 working days and enclosing a copy of this procedure.

Within one month of receipt of the complaint we will send you, either a:

1. Final Response which is fair, clear and not misleading and explains the reasons for our decision with regard to the complaint and offers you remedial action or redress where appropriate ; or an
2. Explanation of why a final response has not been given and when a final response can be expected.
3. We will also inform you of the opportunity to raise the complaint up to the level of Senior Management of R&Co WME, should you remain unsatisfied by the response provided to you. In this respect, we will provide the contact details of the person responsible at the level of Senior Management and process to follow.

In all instances we will reply to your complaint without undue delay.

2. If we cannot reach agreement

In the unlikely event that your complaint cannot be resolved to your satisfaction, you can, at this stage refer your complaint to the CSSF. R&Co WME will inform you, on paper or by way of another durable medium of the existence of the out-of-court Complaint resolution procedure at the CSSF, as defined in the CSSF regulation N°16-07. This referral must be within one year of you receiving our final response.

https://www.cssf.lu/wp-content/uploads/RCSSF_No16-07eng.pdf

3. Out-of-court complaint resolution procedure at the CSSF

The request must be filed with the CSSF in writing, by post or by fax to the CSSF or by email (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/wp-content/uploads/Formulaire-Reclamation_EN.pdf