

CLIENT COMPLAINTS

This document provides information to Clients (“Client” or “you” or “your”) of Instinet Germany GmbH (IGG or “Instinet” or “we” or “us” or “our”), authorised by the Federal Financial Supervisory Authority (German: Bundesanstalt für Finanzdienstleistungsaufsicht; the BaFin) and regulated by the BaFin and Deutsche Bundesbank, who wish to register a complaint.

If there is any statement in this document for which you require further information, please contact Compliance, via the contact details set out below.

We value our relationship with our Clients and it’s important that we can help resolve any issues you may have. That’s why we are committed to supporting your experience in a way which is fair, clear and not misleading. Therefore we encourage you to let us know if you are not satisfied with any of the services or products that we provide. If you have a complaint about any of our services, please share your concerns right away so we can help you and resolve your complaint as quickly as possible.

Scope

This process applies to any Client or prospective Client of IGG who is not satisfied with the service provided in our capacity as a regulated institution; the above includes but is not limited to our brokerage services.

If an order has been sent to Instinet for execution via an affiliated Instinet entity, you should contact the relevant Instinet affiliate who will liaise with Instinet on your behalf.

How do you file your complaint?

If a Client wishes to make a formal complaint, the notification can be made via email or letter to the IGG Compliance Department and shall include the information below:

Contact address

Email: europe.compliance@instinet.com

Letter: Compliance Department, Instinet Germany GmbH, Rathenauplatz 1, 60313 Frankfurt am Main, Germany

Information to include:

- Name of the Client and the name of the contact person for Instinet
- Your contact details: postal address, e-mail address and telephone number(s)
- Information regarding your complaint: date, service, product, issue, trade references etc.
- Resolution: how you would like your complaint to be resolved
- The name of your Instinet sales representative or contact person

When can you expect a response to your complaint?

The provisions of this section relates to complaints handling for all Investment Services as defined in Directive 2014/65/EU, Annex 1, Section A provided by Instinet.

When we receive your complaint, we will send an acknowledgement that we have received your complaint. Within four weeks of receiving your complaint we will send you either a final response or a holding response.

Where we have sent you a holding response, we will explain why we are not able to respond to your complaint in full and we will indicate when you will receive a final response with resolution of your complaint. In general, we will strive to provide you with a final response within 2 month after the receipt of your complaint.

In the event your complaint cannot be resolved finally within 2 month, we will notify you and explain why we are not able to respond to your complaint in the set timeframe and indicate when we will be able to provide you with a final response.

European Compliance, December 2020

©2020 Instinet Incorporated and its subsidiaries (collectively "INSTINET"). All rights reserved. INSTINET is a registered trademark in the United States and other countries throughout the world. Approved for distribution: in Australia by Instinet Australia Pty Limited (ACN: 131 253 686 AFSL No: 327834), which is regulated by the Australian Securities & Investments Commission; in Canada by Instinet Canada Limited, members IIROC/CIPF; in the United Kingdom by Instinet Europe Limited, which is authorized and regulated by the Financial Conduct Authority, and in the European Economic Area by Instinet Germany GmbH which is authorised and regulated by the BaFin and Deutsche Bundesbank; in Hong Kong by Instinet Pacific Limited, which is authorized and regulated by the Securities and Futures Commission of Hong Kong; in Singapore by Instinet Singapore Services Private Limited, which is regulated by the Monetary Authority of Singapore, a trading member of The Singapore Exchange Securities Trading Private Limited and a clearing member of The Central Depository (Pte) Limited; and in the US by Instinet, LLC, member SIPC. This material is made available for informational purposes only and does not constitute an offer, solicitation, or recommendation with respect to the purchase or sale of any security, product or service. This material does not take into account the particular investment objectives, financial situation or needs of individual clients. No representation or warranty, express or implied, is or will be made and no responsibility or liability is or will be accepted by INSTINET or by any of their respective officers, employees or agents in relation to the accuracy or completeness of this material or any other written or oral information in respect thereof made available to you or any agent and any such liability is expressly disclaimed.