



THEMATICS

asset management

COMPLAINTS HANDLING POLICY

COMPLAINT-HANDLING POLICY

Owner entity

Thematics Asset Management

Policy supervisor(s)

Managing Director
Compliance and Internal Control Officer

Date

Issued on: 10 May 2019
Updated: 20 April 2020

Relevant laws & regulations

- Instruction AMF : Traitement des réclamations – DOC-2012-07
- Regulatory texts: Articles 313-8, 318-10, 322-71-1, 325-12-1 et 325-47 du Règlement Général de l'AMF

Scope

Thematics Asset Management

GENERAL DESCRIPTION

Background and basic principles

Thematics Asset Management has set up a system for handling client complaints in an effective, transparent and uniform manner, in accordance with the applicable regulations.

There is no charge for processing complaints and clients may file their complaint either (i) in French or (ii) in one of the official languages of the EU Member States in which the Undertakings for Collective Investments in Transferable Securities (UCITS) is marketed or in which the service is provided.

Scope

A complaint is an expression of dissatisfaction received whether oral or written, justified or not, from or on behalf of an eligible complainant, about the firm's provision of or failure to provide a financial service. A request for information, clarification or service is not a complaint.

Requests and complaints may concern, for instance, the management or performance of a portfolio, the fees charged for services, legal or marketing documentation and any other aspects of the services provided.

Complaints handling at Thematics Asset Management

Clients may file complaints by mail, phone, email, or directly to the person they usually deal with. Complaints by letter shall be sent to:

Natixis Investment Managers International
NIMI Client Service Department
43, Avenue Pierre Mendès France
75013 Paris, France.

Complaints by phone are recorded on the phones of client service representatives.

Complaints by e-mail shall be sent to: ClientServicingAM@natixis.com.

→ Limitation period for filing complaints

Thematics Asset Management is committed to:

- Send an acknowledgement letter to you within ten (10) business days as of the receipt of the complaint if the complaint cannot be closed before this timeline.
- Respond to complaints within two (2) months as of the receipt of the complaint by Thematics Asset Management.
- Keep the complainant updated of the progress of the complaint and of any circumstances that justify the failure to provide an answer within the time limit.

Arbitration by the Autorité des Marchés Financiers (Financial Markets Regulator)

The Autorité des Marchés Financiers (AMF) offers an arbitration service that is available to any natural person or legal entity who/that is involved in an individual dispute that falls within its supervision, i.e. investment in securities.

The AMF shall be contacted by letter at the following address:

Médiateur de l'AMF
Autorité des marchés financiers
17, place de la Bourse
75082 PARIS CEDEX 02

A form for requesting arbitration is available on the AMF's website at www.AMF-France.org.