

## INFORMATION ON THE SUBMISSION AND HANDLING OF COMPLAINTS

UAB Modus Asset Management (hereinafter referred to as the **Management Company**), implementing the complaints management process, hereby ensures:

- Fair, efficient, prompt and free-of-charge acceptance and examination of complaints of the Management Company's customers concerning violated rights or legitimate interests related to the Management Company's collective investment undertaking management activities or concluded agreements;
- The application of appropriate measures to avoid, identify and eliminate conflicts of interest;
- Assignment of complaint examination to employees with sufficient knowledge, skills and experience to perform this function;
- Registration and storage of complaints and information on the measures taken to resolve complaints in accordance with the procedure and within the terms provided by law;
- Monitoring that the complaints management process is effective and, if necessary, updated.

A person who considers that his/her rights and/or legitimate interests in relations with the Management Company or in connection with the agreements concluded by the Management Company are violated shall have the right to file a complaint with the Management Company.

The complaint, written in Lithuanian or English, should be sent to the Management Company by e-mail at: [info@modusam.com](mailto:info@modusam.com) or by ordinary mail to: UAB Modus Asset Management, Ozo st. 10A, LT-08200 Vilnius, Lithuania.

The complaint must contain the following information:

- the name of the complaining customer or the name of the legal entity, contact telephone number and address to which a reply is sought;
- the actions of the Management Company, its employees and/or representatives complained about, the circumstances of the dispute and the motivated, precise and clear requirements of the customer;
- signature of the customer (or his/her representative);
- if the complaint is filed by the customer's representative, the complaint must be accompanied by a power of attorney or other document confirming the representative's authority to act on behalf of the customer.

The complaint received by the Management Company shall be examined and a detailed and reasoned response shall be provided no later than within 15 business days from the date of receipt of the complaint. In exceptional cases, when it is not possible to respond to the complaint within this period, the Management Company's representative must inform the complaining customer, indicate the circumstances of the delay in submitting the response and the term by which the complaint shall be examined and responded to. In any case, the term for the final reply shall not exceed 35 business days from the date of receipt of the complaint.

If the complaint contains issues that do not fall within the competence of the Management Company, or the complaints are submitted with deficiencies (not complying with the abovementioned requirements for the information provided in the complaint) that prevent the examination of the complaint on the merits, such complaints shall not be considered. In such a case, the Management Company shall refuse to accept the submitted complaint (or a part thereof), explaining in writing to the customer the reasons for such refusal, and indicate the financial market participant or other person responsible for the circumstances set out in the complaint, if such person is known to the Management Company.

In the event that the Management Company refuses or partially satisfies the customer's complaint, the response to the complaint sent to the customer shall set out the reasons for refusing to satisfy the complaint (or part

thereof) and indicate other means of protection of the customer's interests, including but not limited to possible means of dispute resolution (possibility to apply to the Bank of Lithuania) and courts.

If you have additional questions, please contact the Management Company at the following contacts: [info@modusam.com](mailto:info@modusam.com), +370 5 235 6080.