

Algebris Investments (Ireland) Limited

Procedure for Handling Client Complaints

Introduction

Algebris Investments (Ireland) Limited has created a complaints handling procedure to ensure that all complaints received from Investors and Clients are assessed, given the appropriate level of attention and resolved promptly. This procedure is implemented by Algebris Investments (Ireland) Limited and its delegates to ensure a transparent and effective complaints handling process.

How to raise a Complaint

Investors and Clients can raise complaints or expressions of dissatisfaction by phone, email or letter and may do so free of charge. If the complaint is received via phone, the Complainant will be requested to submit the complaint in writing.

The complaint may be raised via your financial intermediary e.g. your financial advisor, your distributor.

Alternatively, please contact your Relationship Manager at Algebris Investments or the Algebris Investor Services team at info@algebris.com or by phone at +44 (0) 203 196 2450.

The Complainant should provide a description of the facts, details of the complaint itself, his or her name and contact details, and enclose all relevant supporting documentation.

How we will handle your complaint

The complaint will be raised to the Head of Distribution and the Head of Compliance within one working day of receipt by the Client Services team. We then take the following steps;

- An acknowledgement will be sent within 5 working days of receipt.
- All relevant parties should receive progress updates no less than every 20 days.
- Where possible, all complaints should be resolved within 40 business days of receipt of the complaint.
- Where any complaint is not resolved within this timeline, the Complainant must be notified immediately of the reason for the delay and of an expected timeframe for resolution.

All responses sent during this time include a summary of the complaint, investigations initiated, and any corrective actions taken.

If you are not satisfied with the progress of the investigation or the final decision does not satisfy your demands, the matter may be referred by yourselves to the relevant regulatory authority;

- for *Algebris products* domiciled in **Ireland**, please refer the matter to the Financial Services and Pensions Ombudsman ('FSPO').

The FSPO is located at the address below;

Lincoln House
Lincoln Place
Dublin 2,
D02 VH29

E-mail: info@fspo.ie

Call: +353 (0)1 567 7000

- for *Algebris products* domiciled in **Luxembourg**, please see below;

Please refer the matter to the CSSF within a year of formally lodging the complaint with Algebris.

Contact details are below:

Commission de Surveillance du Secteur Financier (CSSF)
Département Juridique – Service JUR - CC
283, Route d'Arlon
L - 1150 Luxembourg
LUXEMBOURG

E-mail: reclamation@cssf.lu

Fax : (+352) 26 25 1 – 2601

CSSF website : <http://www.cssf.lu/en/consumer/complaints/> where you may find necessary information on the out-of-court complaint resolution procedure before the CSSF.