

COMPLAINT HANDLING POLICY

ARIA CAPITAL MANAGEMENT (EUROPE) LIMITED
VI 2024

ACMEL Address
Suite W204
The Hub Workspace
Triq Sant 'Andrija
San Gwann
SGN 1612
Malta

Complaints Procedures

ARIA Capital Management (Europe) Limited (ACMEL) is authorised and regulated by the Malta Financial Services Authority (MFSA) to provide financial services in Malta and has passporting rights to Ireland. Registered address: Suite W204, The Hub, Triq Sant 'Andrija, San Gwann, SGN 1612 Malta.

ACMEL places great importance on ensuring that it provides the highest standards of service to its clients.

Your right to complain

If you are dissatisfied with the service you have received, we encourage you to advise us of your complaint so that we have the opportunity to investigate and put matters right where the service has not been of the highest standards

We aim to get your complaint resolved as quickly as possible by staff with the right experience, knowledge and authority. We aim to ensure that:

- It is easy for you to raise your complaint;
- Your complaint is appropriately investigated;
- Any suggestions for improvements are considered;
- You are satisfied with the handling of your complaint.

Although we always try to provide a high standard of service, we understand that there may be occasions where you aren't happy with the services we've provided.

That's why we have a complaints procedure.

Who to contact

Main contact for complaints: Compliance Officer

Contact details: complaints@ariacm.com

ARIA Capital Management (Europe) Limited, Suite W204, The Hub, Triq Sant 'Andrija, San Gwann, SGN 1612 Malta

Telephone: +356 2755 5069

What we do when a complaint is received

Our actions will be the same whether your complaint is made in writing or verbally. We aim to assess any complaint fairly, consistently and promptly.

Where possible, we'll try to resolve your concerns within 3 working days of receiving your complaint.

If we can resolve your complaint within 3 working days, we will:

- Contact you by the end of the third day of receiving your complaint, confirming how we have dealt with it.

If we cannot resolve your complaint within 3 working days, we will:

- Write to you within 5 working days of receiving your complaint
- Investigate your complaint further.
- We may need to get a signed letter of authority from you so we can collect certain information from other parties on your behalf
- We aim to complete our investigation within 8 weeks of receiving your complaint

Write to you again when we have completed our investigation, confirming:

- Details of our investigation
- Whether your complaint should be upheld or not
- What corrective action or redress (or both) may be suitable

If we haven't been able to complete our investigation within 8 weeks of receiving it, we will write to you again, explaining:

- The reason(s) why we have not been able to complete our investigation
- When we hope to complete our investigation

If you are unhappy with our response

- If you're not happy with our response, you may refer your complaint to the Office of the Arbiter for Financial Services free of charge, who may be able to help.
- We'll provide full details of how to do this when we write to you.

Where appropriate, we'll provide you with the relevant contact details.

Please bear in mind that if your complaint involves information from third parties some delays could be beyond our control. We'll however, pursue information on a regular basis.

In the event that we receive a complaint that is not about us, or our services, and assuming that we can identify the firm to whom the complaint should be addressed, we'll carry out the following action:

- We'll write to the firm concerned, explaining that we believe the complaint in question to be theirs, and suggesting that they contact you directly.
- We'll enclose a copy of your original complaint letter or email or if this was made verbally, written details of the notes we made.
- We'll write to you Electronically via email, giving contact details of the relevant firm, and invite you to get in touch with them directly. We'll also provide you with a copy of the email we send to the firm.
- We'll copy the new firm in on this email.

The Office of the Arbiter for Financial Services

The Office of the Arbiter for Financial Services acts independently of ACMEF and provides a service as an unbiased adjudicator. The Arbiter autonomous and independent body with power to mediate, investigate and adjudicate complaints filed by customers against all financial service providers regulated by the MFSA. The Arbiter is totally independent and impartial of all parties concerned to the complaint.

The address to write to is:

The Office of the Arbiter for Financial Services Address: N/S in Regional Road, Msida MSD 1920, Malta Telephone: (+356) 21249245

Website: <https://www.financialarbiter.org.mt>

Email: complaint.info@asf.mt

How to reach us

ACMEL Address

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ARIA Capital Management (Europe) Limited. ARIA Capital Management (Europe) Limited is authorised and regulated by the Malta Financial Services Authority (www.mfsa.mt) and registered with the Central Bank of Ireland for conduct of business rules. Malta company number: C 26673. Registered office: Suite W204 The Hub Workspace, Triq Sant 'Andrija, San Gwann, SGN 1612, Malta.

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