

THEMATICS AM – COMPLAINTS HANDLING POLICY

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 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 scheme is marketed or in which the service is provided.

Scope

A complaint is a statement of an eligible complainant's dissatisfaction with Thematics AM regardless of the interlocutor with whom it is made. A request for information, clarification or service is not a complaint.

An eligible complainant is any person having an interest in acting, including in the absence of a contractual relationship with Thematics AM, namely clients (including professional clients and non-professional clients), former clients, holders of financial securities, persons who have solicited Thematics AM for the supply of a product or service or who have been solicited by Thematics AM, including their agents and successors.

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

Eligible complainants may file complaints by mail or email.

Complaints by letter shall be sent to:

Thematics Asset Management
Compliance officer
11 rue Scribe
75009 Paris

Complaints by e-mail shall be sent to: **compliance@thematics-am.com**

Thematics Asset Management is committed to:

- Send an acknowledgement letter within ten (10) business days from the date the complaint is sent by the complainant to Thematics Asset Management if the complaint cannot be closed before this timeline. The acknowledgement letter will include information about referral procedures, processing timeline and mediation protocols.
- Respond to complaints as soon as possible and no later than within two (2) months from the date the complaint is sent by the complainant to Thematics Asset Management. The response will include in any case possible remedies (including the existence and contact details of the competent ombudsman)

- 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.

The AMF may 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 also available on the AMF's website at www.AMF-France.org.